DRAFT

State Self-Review

of

State Formula Grant Programs under the Elementary and Secondary Education Act
and the
McKinney-Vento Homeless Assistance Act

Reporting Form for 2001 -2002

Office of Elementary and Secondary Education
U.S. Department of Education

July 23, 2001

State Self-Review

for
State Formula Grant Programs

under the
Elementary and Secondary Education Act,

Goals 2000: Educate America Act,

and the McKinney Homeless Assistance Act

Reporting Form for State Education Agencies
2001 – 2002

Office of Elementary and Secondary Education
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-6100

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* Requirements that are not otherwise covered in the cross-cutting quality indicators.

INTRODUCTION

This document contains the U.S. Department of Education's (ED) *State Self-Review* for state formula grant programs administered by the Office of Elementary and Secondary Education (OESE), including programs authorized by the Elementary and Secondary Education Act (ESEA), as amended in 1994, and a document-request list.

Programs covered by this *State Self-Review* instrument are:

> ➢ ESEA, Title I, Part A, Improving Basic Programs Operated by Local Educational Agencies
>
> ➢ ESEA, Title I, Part B, Even Start Family Literacy Programs
>
> ➢ ESEA, Title I, Part C, Education of Migratory Children
>
> ➢ ESEA, Title I, Part D, Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent or at Risk of Dropping Out
>
> ➢ ESEA, Title I §1502, and Title X, Part A, Comprehensive School Reform Demonstration Program (Public Law 105-78.)
>
> ➢ ESEA, Title II, Eisenhower Professional Development Program—SEA Program
>
> ➢ ESEA, Title II, Eisenhower Professional Development Program—SAHE Program
>
> ➢ ESEA, Title III, Part A, Subpart 2, Technology Literacy Challenge Fund
>
> ➢ ESEA, Title IV, Safe and Drug-Free Schools and Communities—SEA Program
>
> ➢ ESEA, Title IV, Safe and Drug-Free Schools and Communities—Governors' Program
>
> ➢ ESEA, Title VI, Innovative Education Program Strategies
>
> ➢ McKinney Homeless Assistance Act, Title VII, Subtitle B, Education for Homeless Children and Youth
>
> ➢ 1999 Appropriations Act (Public Law 105-277) §307, Class-Size Reduction

Purpose and Frequency

The *State Self-Review* is designed specifically to assist the state and OESE's review teams in preparing for on-site monitoring by OESE and in tailoring the review to the needs of the particular state. OESE's on-site monitoring process combines compliance review and technical assistance. For most states, reviews are conducted approximately once every four years. The *State Self-Review* provides both a conceptual framework for reviews and a mechanism to guide the orderly gathering of information. Completion and submission are mandatory for states according to OESE's established schedule, and due on March 31 of the scheduled year. The survey can be completed electronically via the web. Any supplementary hard-copy materials should be sent to the following address.

    Office of Elementary and Secondary Education:
    State Self-Review for _____[NAME OF STATE]
    400 Maryland Ave., SW, Room 3C140
    Washington, DC 20202- 6132

The instrument can also serve as a tool for state self-reflection in years that the state will not be reviewed by ED; this use is voluntary.

The purposes of the *State Self-Review* are:

➢ To encourage state staff to reflect on their practice in the implementation of federal programs with a focus on program quality and the identification of areas that can be improved

➢ To assist the state in preparing for its monitoring reviews by providing them with information on the scope of the reviews

➢ To serve as a tool for selecting focus areas for review and technical assistance and guiding conversations and activities associated with monitoring reviews

➢ To provide evidence of the state's compliance with program requirements and to give the state the opportunity to remedy compliance issues.

Companion to the *Consolidated State Performance Report*
The *State Self-Review* (SSR) and the *Consolidated State Performance Report* (CPR) are viewed by ED as companion data collections—they are complementary, have minimal redundancy, and serve separate and distinct purposes. **The *Consolidated State Performance Report* focuses on results and outcomes during a specified period, while the *State Self-Review* provides a snapshot of state strategies at the time the on-site program review is conducted.** A few key questions appear in both documents (such as a request for updates that the state has made to the plans that govern its operation of federal programs), but responses to these questions need only include updates since the prior submission of either the SSR or the CPR.

It is not our intent to solicit information in the self-review that we have received from the state by other means. If information is requested that the state has provided to ED for another purpose, the state may reference that source.

Part I of the State Self-Review—the Self-Review Questionnaire
The self-review questionnaire is organized around the Quality—overarching principles that reflect both good educational policy and federal legislative requirements that span multiple education grant programs. [The Quality Indicators for programs administered by OESE are listed on p. *x* of this document.] The self-review questionnaire includes a section for each indicator. The instrument focuses on best practice while also including questions that help determine whether a state is complying with specific statutes and regulations. The self-review:

➢ Emphasizes approaches, actions and strategies

➢ Asks states to judge the quality of their efforts in certain areas

➢ Provides states with an opportunity to identify areas in which they could use assistance

Part II of the State Self-Review—the Document Request List
The latter part of the State Self-Review is a list of documents that the state must provide during the year which the State Self-Review is required. The list also identifies documents that are already available to the review teams but included in the list to alert the state that these documents may be discussed during the on-site portion of the reviews.

Suggestions for Maximizing the Usefulness of the *State Self-Review*
Since one of the purposes of the SSR is to encourage states to be reflective about their use of federal funding, ideally, the state would involve a number of people in completing and reflecting upon the self-review questionnaire, including SEA staff with expertise in the various reform issues and SEA staff with responsibility for administering the programs under review. States may also want to include one or more representatives from local school districts, from higher education institutions, and from family and community organizations. State agencies other than the SEA that administer programs under review (such as the SAHE for Title II or the agency that administers the governor's portion of Title IV of ESEA) should also have input.

The state may also wish to provide other information that it believes will be helpful in designing a meaningful reviews. Responses to this instrument will be used by OESE's review teams to develop an understanding of the state's reform efforts, its federal program implementation, and how the two are related. This can then be used as a basis for working collaboratively with the state to establish the objectives and activities of monitoring reviews.

State's Responsibility for Program Administration
While most discussions during the review will relate to the Quality Indicators, the self-review questionnaire, and the document request list, **there is no limitation during any monitoring visit on exploring an area in which there is some indication of problematic implementation.** The state continues to be responsible for complying with all statutory and regulatory requirements for each program, whether or not they are addressed in the self-review instrument and/or the on-site reviews.

Specific Instructions for Completing the Survey

(1) For all questions, **check all responses that apply if multiple responses are appropriate**.

(2) When "other" is followed by a line, please provide additional information.

(3) The use of the word "state" is intended to be inclusive of any state agency or entity, including the State Education Agency (SEA) and also other agencies, such as the State Agency for Higher Education (SAHE), and the state agency that administers the Governor's program under Title IV.

(4) If inadequate space is provided, respondents may use attachments. Please number the attachment to match the question number. Also, note in the main form that you are providing an attachment to supplement your response on the questionnaire.

(5) For any question, respondents may add options that don't appear.

(6) Respondents may reply that a question does not apply.

(7) Statutory citations referenced in the self-review can be found on the internet as follows:

ESEA: ....http://www.ed.gov/legislation/ESEA/toc.html

Please note that the ED web site is case sensitive.

Quality Indicators
for the
State Implementation of Federal Education Programs

Quality Indicators for program implementation are broad descriptions of elements that are essential to a state's implementation of federal formula grant programs. They provide states with guidance for reviewing their systems of administering federal programs and for continuously improving those systems. The Quality Indicators below should guide the implementation of formula grant programs under the Elementary and Secondary Education Act (ESEA).

Effective state implementation of federal education programs:

1. **Supports and promotes high standards for all children** and encourages curriculum and instruction, student assessments and policies of accountability for student achievement that are aligned with those standards.

2. **Uses education research findings** and state and local performance data to inform decision-making.

3. **Supports and promotes sustained, intensive, high-quality professional development** for teachers, administrators and other educators at every stage along the professional development continuum to build the capacity necessary for offering high-quality learning opportunities for all students.

4. **Involves parents and other community representatives in school improvement** initiatives, and promotes a shared responsibility for achieving high standards in teaching and learning for all children.

5. **Promotes a safe, disciplined, drug-free and culturally sensitive school environment** in which students can learn effectively.

6. **Encourages and facilitates comprehensive school reform,** using technology and strategies such as "schoolwide" programs (authorized under ESEA, section 1114) to upgrade the entire educational program so that all children within those schools will meet the state's high content and performance standards.

7. **Coordinates federal programs with each other and with state initiatives** and takes advantage (where appropriate) of flexibility provisions in federal legislation, in exchange for accountability for improved outcomes, while ensuring that populations targeted by the programs are appropriately served and that resources are targeted to areas of greatest need.

8. **Provides oversight of and assistance to subgrant recipients** through a system of support for local education agencies, schools and other subgrant recipients to assist them in effective program implementation and to encourage their continuous improvement.

9. **Carries out all statutory and regulatory requirements,** including eligibility, allocation, comparability of resources, and other fiscal issues.

OESE

State Self Review: Part I

Self-Review Questionnaire

Office of Elementary and Secondary Education
U.S. Department of Education

July 23, 2001

OMB Number: 1810-0614
Expiration Date: December 31, 2002

State Self-Review

for
State Formula Grant Programs
under the
Elementary and Secondary Education Act,
and the ## McKinney-Vento Homeless Assistance Act

Name of State Education Agency (SEA) Submitting This Report:

Address:

Person to contact about this report:

Name:

Telephone:

Fax:

e-mail:

Name of Authorizing State Official:(Print or Type):

Signature	Date

Setting the Groundwork for the State Self-Review

A. The state's consolidated plan is the basis for the implementation of the programs it covers and the basis for the Office of Elementary and Secondary Education's (OESE) understanding of those programs in the state. If the state has made substantive changes in any of the areas covered in the plan since last reporting amendments to OESE, please mark the last column and attach a description of the changes. Identify the attachment as "A". Additionally, please indicate in column 2 the date of the last update previously submitted to OESE.

Area of Consolidated Plan	Date of Last Revision Submitted to OESE	Check (✓) if revision is attached to this SSR
(1) State Goals		
(2) Standards		
(3) Assessments		
(4) Accountability/Adequate Yearly Progress		
(5) Performance Indicators		
(6) Strategies, Activities and Use of Resources		
(7) Continuous Improvement		
(8) Fiscal Accountability		
(9) Equitable Access and Participation		
(10) Other		

B. Programs not included under the state's consolidated plan each operate based on the plan submitted in the application process. This may include the Technology Literacy Challenge Fund (TLCF), the Comprehensive School Reform Demonstration Program (CSRD), Class-size Reduction, Safe and Drug-Free Schools and Communities (SDFSC) Governor's Program and any ESEA program that was eligible for the consolidated plan, but not included at the choice of the state. If the state has made substantive changes in any of these plans, please mark the last column and attach a description of the changes and the program name. Identify the attachment as "B." Additionally, please indicate in column 2 the date of the last update previously submitted to OESE.

Program	Date of Last Revision Submitted to OESE	Check (✓) if revision is attached to this SSR
(1) TLCF		
(2) CSRD		
(3) Class-size		
(4) Title IV, SDFSC Governor's Program		
(5) Title I, Part A—Basic Programs		
(6) Title I, Part B—Even Start		
(7) Title I, Part C—Migrant		
(8) Title I, Part D—Neglected or Delinquent		
(9) Title II—Eisenhower		
(10) Title IV—SDFSC SEA Program		
(11) Title VI—Innovative Program Strategies		
(12) McKinney Act, Homeless Education		

C. **After completing pp. 5-92 of the *State Self-Review* questionnaire, please do the following:**

a) Attach a short narrative that provides any background information the state thinks the review team will need to understand the state context when conducting this review (optional).

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as C(a)

❑ The state is not attaching additional information in response to this item.

b) Prioritize the <u>thematic sections</u> of the self-review in which the SEA requested assistance (if any) by completing the first column. Enter 1 for first priority, 2 for second priority, etc. Some rows may remain blank if the SEA is not requesting assistance there. [Thematic sections correspond to quality indicators #1-8; *e.g.* section 1 is pp. 5-15.]

State's Priority Need for Assistance Enter rank order, 1= highest	Section Number	Thematic Section/Quality Indicator
	1	Standards, Assessment and Accountability
	2	Research and Data-Driven Decision Making
	3	Teacher/Administrator Quality and Professional Development
	4	Parental and Community Involvement
	5	Safe and Drug-Free School Environment
	6	Comprehensive School Reform
	7	Coordination of Programs
	8	Oversight of and Assistance to Subgrantees

c) Describe the process that the state used to complete and reconcile this self-review. For example, in what ways did the SEA use it as a self-reflective tool and what collaborative approaches were used?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as C(c)

D. **List the persons who assisted in the completion of this self-review and, for each person, identify which sections he/she participated in completing. Identify agency for any persons not with the SEA. Attach a continuation page if necessary. Identify attachment as D.**

Name (and Agency, if not SEA)	Telephone	Sections of the Self-Review

Note: On check-box questions, please check all that apply.

1.   **Standards, Assessment and Accountability**

Quality Indicator: Effective state implementation of federal education programs supports and promotes high standards for all children and encourages curriculum and instruction, student assessments, and policies of accountability for student achievement that are aligned with those standards.

A. **Describe the SEA's process for allowing LEAs to review and approve assessment results prior to SEA identification for needed improvement.**

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 1-C

B. **What strategies are used to reward schools/LEAs for making progress toward reaching state standards?**

❑ Financial incentives are given to schools/LEAs for making progress.

❑ Financial incentives are given to individuals in those schools that are making progress.

❑ The state has a recognition program for schools/LEAs that are making progress toward meeting the state standards.

❑ State rules or regulations are more flexible for schools/districts that are meeting state standards.

❑ State oversight or monitoring is less frequent for schools/LEAs that are meeting state standards.

❑ Schools that are making progress are used to assist low performing schools.

❑ Individuals from schools that are making progress serve as distinguished educators to assist other schools that need help.

❑ Other:_____

❑ The SEA could use assistance in this area.

C. **What funding sources are used to reward schools/LEAs for making progress toward reaching state standards?**

❑ Federal   ❑ State   ❑ LEA   ❑ None

D. **What interventions are used to assist schools/LEAs that are identified as needing improvement?**

❑ State support teams assist schools/LEAs.

❑ Schools/LEAs develop a comprehensive plan that describes how they intend to address their needs.

❑ External technical assistance providers are used.

❑ State mentors are provided.

❑ State oversight monitor is assigned to the school/LEA.

❑ State workshops and information sessions are provided.

❑ Information on research and strategies for improvement are provided.

Note: On check-box questions, please check all that apply.

❑ Other:_____

❑ The SEA could use assistance in this area.

E. What types of corrective actions do <u>LEAs</u> apply to low-performing schools?

❑ Withholding funds

❑ Revoking authority for a school to operate a schoolwide program

❑ Decreasing decision-making authority

❑ Making alternative governance arrangements such as the creation of a public charter school

❑ Reconstituting the school's staff

❑ Authorizing students to transfer

❑ Other:_____

❑ LEAs do not use corrective actions against low-performing schools.

❑ The SEA could use assistance in this area.

F. What type of corrective actions does the SEA require of low-performing schools and/or LEAs?

❑ Withholding of funds

❑ Reconstitution of school district personnel

❑ Removal of particular schools from the jurisdiction of the LEA

❑ Establishment of alternative arrangements for public governance and supervision of such schools

❑ Appointment by the SEA of a receiver or trustee to administer the affairs of the LEA in place of the superintendent and school board

❑ Authorization for students to transfer from a school operated by one LEA to a school operated by another LEA

❑ Joint plan between the state and the LEA that addresses specific elements of student performance problems

❑ Other:_____

❑ The SEA does not use corrective actions against low-performing schools.

❑ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

2. Use of Research and Performance Data

Quality Indicator: Effective state implementation of federal education programs utilizes education research findings and state and local performance data to inform decision-making.

A. **Many ED programs have needs assessment requirements, including all of those listed in the table below. Please complete the table to provide information about the needs assessment for each of these programs. [Use codes below chart.]**

Program Name	Type (a)	Statewide Planning Process (b)	Frequency (c)	Date Last Completed (mm/dd/yy) (d)	Statewide Data Sources (e)
Title I, Part A, §1114 Schoolwide Programs					
Title I, Part B, Even Start					
Title I, Part C, Migrant					
Title I, Part D, Neglected/Delinquent					
Title II, Eisenhower Prof. Development					
Title IV, Safe and Drug-Free Schools					
McKinney --Homeless Education Program					
1999 Appropriations Act— Class-Size Reduction					

Column (a)—Type:
SC = SEA Consolidated
SP = SEA program-specific
SO = Other state agency
L = LEA
B = Building level

Column (b)—Planning process:
A = Needs assessment was aligned with state standards
CB = Criteria and benchmarks were established prior to the development of the needs assessment
N = None

Column (c)—Frequency
0=none,
1=annually,
2=every 2 years,
3 = every 3 years, etc.

Column (e)—Data Sources
SA = State assessment scores
LA = Local assessment scores
P = Portfolio assessment
A = average student attendance
G = student grades
OG = Number of students overage for grade level
DO = Dropout rate
ESL = Number of limited English proficient children
CA = Credit accrual (secondary)
C = College admissions test results (*e.g.* SAT, ACT)
TR = Teacher report
PR = Parent report
YRBS = Youth Risk Behavior Survey
R = Availability of external resources
S = Staffing level
DA = Incidence of disciplinary action
SC = School climate
EX = Level of participation in extra-curricular activities
ETPD = Prof. development for educational technology
ETA = Number of classrooms with internet access
ETC = Student to multi-media computer ratio
ETI = Technology integrated into curriculum
SS = Availability of support services (*e.g.* health)
O= Other (specify with a footnote)
N = no statewide needs assessment
I = Data from SEA/LEA website(s)

B. What steps has the SEA taken to ensure that LEA needs assessments are inclusive – *i.e.,* that they ask the kinds of questions that will give a fair assessment of needs in all areas covered by these programs?

❑ The SEA assists LEAs in designing and conducting needs assessments that accurately describe the educational needs of children in the school or school district, and that also satisfy requirements of each program.

❑ The SEA leaves designing and conducting needs assessments up to LEAs and monitors only to ensure that the requirements of each affected program are met.

❑ Other:_____

❑ The SEA could use assistance in this area.

C. How are data on student and school achievement used to shape policy and practice?

❑ The SEA compares student assessment data with standards and curricula over time to identify areas of the curriculum that need strengthening.

❑ The SEA uses data from state and national program evaluations to identify strengths and weaknesses in the implementation of state and federal programs.

❑ Other:_____

❑ The SEA could use assistance in this area.

D. How does the SEA ensure that education research findings inform decision making at the state level?

❑ The SEA ensures that data from evaluations of state and federal programs are made available to state policy-makers and legislators.

❑ The SEA provides policy-makers with assistance in determining how research and evaluation findings can be used to shape educational policy.

❑ Other:_____

❑ The SEA has not used research and evaluation data in shaping state educational policy.

❑ The SEA could use assistance in this area.

E. The state makes regular use of the following resources in determining how research and evaluation findings and state and local performance data can help shape state education policy and program design.

❑ The Comprehensive Regional Assistance Center

❑ Publications of ED's Office of Educational Research and Improvement

❑ Regional Technology in Education Consortia (R*TEC)

❑ Educational Resources Information Center (ERIC)

❑ National Library of Education (NLE)

❑ Eisenhower Regional Mathematics and Science Education Consortia

❑ National Clearinghouse for Bilingual Education

❑ School-to-Work Learning Center or Technical Assistance Providers

❑ Equity Assistance Centers (formerly Desegregation Assistance Centers)

❑ Parent Information and Resource Centers

❑ Regional Educational Laboratories

❑ ED's toll-free number 1-800-USA-LEARN

Note: On check-box questions, please check all that apply.

❑ ED's website: www.ed.gov

❑ State-provided or state-funded assistance centers

❑ Other:_____

❑ None

❑ The SEA could use assistance in identifying resources.

F. **How does the SEA systematically disseminate information on current educational research findings to local decision-makers?**

❑ The SEA disseminates timely information on current education research to all school districts in the state.

❑ The SEA ensures that school districts have on-line access to state and federal research and evaluation reports.

❑ The SEA holds periodic conferences or workshops with local officials to review recent findings and to discuss how they could be applied to local decision making.

❑ The SEA provides information on effective research-based instructional models.

❑ Each LEA is responsible for keeping abreast of current educational research.

❑ Other:_____

❑ The SEA could use assistance in this area.

G. **Describe the SEA's active leadership role to promote LEAs' knowledge and use of research-based effective practices.**

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 2-G.

H. **Describe strategies used by the SEA or LEAs to train teachers and other staff members on how data are used to improve curriculum and instruction.**

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 2-H.

3. Teacher/Administrator Quality and Professional Development

Quality Indicator: Effective state implementation of federal education programs supports and promotes sustained, intensive, high-quality professional development for teachers, administrators and other educators at every stage along the professional development continuum to build the capacity necessary for offering high-quality learning opportunities for all students.

The Department of Education encourages SEAs to consider the following principles of effectiveness in implementing professional development activities in their state.

Effective professional development:
- ✓ Focuses on teachers as central to student learning, yet includes all other members of the school community
- ✓ Focuses on individual, collegial, and organizational improvement;
- ✓ Respects and nurtures the intellectual and leadership capacity of teachers, principals, and others in the school community;
- ✓ Reflects best available research and practice in teaching, learning, and leadership;
- ✓ Enables teachers to develop further expertise in subject content, teaching strategies, uses of technologies, and other essential elements in teaching to high standards;
- ✓ Promotes continuous inquiry and improvement embedded in the daily life of schools;
- ✓ Is planned collaboratively by those who will participate in and facilitate that development;
- ✓ Requires substantial time and other resources;
- ✓ Is driven by a coherent long-term plan;
- ✓ Is evaluated ultimately on the basis of its impact on teacher effectiveness and student learning; and this assessment guides subsequent professional development efforts.

A. **As part of the state consolidated plan, does the SEA have a statewide plan for professional development?**

❑ The SEA has a comprehensive professional development plan that incorporates federal, local, state and private funding sources.

❑ The SEA has begun developing a comprehensive professional development plan.

❑ The SEA plans to develop a comprehensive professional development plan but has not begun development yet.

❑ The SEA does not have a comprehensive professional development plan, but rather addresses professional development in separate program plans.

❑ SEA professional development plans for teachers and administrators and related initiatives coordinate with or include the required Eisenhower plan and performance indicators.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-A.

❑ The SEA could use assistance in this area.

B. **Does the SEA encourage LEAs to develop comprehensive professional development plans?**

❑ The SEA requires LEAs to develop a comprehensive professional development plan that reflects the needs of the schools and that is part of a larger planning effort (*e.g.*, the local consolidated plan).

❑ The SEA strongly encourages LEAs to develop a comprehensive professional development plan that reflects the needs of the schools and that is part of a larger planning effort (*e.g.*, the local consolidated plan).

Note: On check-box questions, please check all that apply.

❑ The SEA does not actively promote comprehensive professional development planning by LEAs.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-B.

❑ The SEA could use assistance in this area.

C. How are state-funded and federally-funded professional development efforts coordinated?

❑ The SEA has an overall written plan including all programs with professional development components.

❑ A standing committee (or team) composed of SEA staff that manage professional development efforts (including federally-funded and state-funded) meets regularly and cooperates in planning coordinated program efforts.

❑ There is a representative of the SAHE on the professional development committee (or team).

❑ The state has examples of professional development events or initiatives that have been jointly funded by federal and non-federal monies.
    ❑ Example:_____
    ❑ Example:_____

❑ The SEA suggests strategies to LEAs for coordinating the use of their federal funding with other funding for professional development.
    ❑ Example:_____
    ❑ Example:_____

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-C.

❑ The SEA could use assistance in this area.

D. How are needs-assessment data used to drive decision-making?

❑ Needs-assessment data are used in planning professional development.

❑ Needs-assessment data are used in developing indicators for professional development.

❑ Needs-assessment data are used in conducting evaluations of professional development.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-D.

❑ The SEA could use assistance in this area.

E. What strategies does the SEA use to support the <u>recruitment phase</u> of the professional development continuum? [Note: Other phases of the professional development continuum are addressed in questions F-I.]

❑ The SEA uses incentives to:
    ❑ Actively recruit and retain excellent teachers in schools in high-poverty areas (*e.g.*, teachers who are National Board for Professional Teaching Standards (NBPTS) certified).
    ❑ Encourage teacher candidates and current teachers to go into math, science and other high-need fields, such as special education, bilingual or ESL areas.
    ❑ Encourage outstanding minority students to become teachers.
    ❑ Recruit teachers with training in instructional use of technology.
    ❑ Other:_____

Note: On check-box questions, please check all that apply.

❑ Incentives used for teachers and/or administrators include:
- ❑ Signing bonuses.
- ❑ Student loan forgiveness programs.
- ❑ Incentive pay for master teachers who mentor new teachers.
- ❑ Other:_____

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-E.

❑ None

❑ The SEA could use assistance in this area.

F. What strategies does the SEA use to support the <u>teacher/administrator preparation phase</u> of the professional development continuum?

❑ The SEA has meaningful partnerships with Institutions of Higher Education (IHEs) and works collaboratively with them toward:
- ❑ Aligning teacher preparation programs with the state's K-12 content standards.
- ❑ Supporting schools that support teachers who conduct action research.
- ❑ Supporting year-long internships in professional development schools.
- ❑ Supporting professional development of higher-education faculty.
- ❑ Preparing education students to work in challenging, high-poverty schools through culturally relevant training and field-based learning
- ❑ Supporting online or distance learning that could assist rural (or any) teachers, principals, or teacher candidates.
- ❑ Providing leadership development and preparing administrators to become instructional leaders in schools/districts in high-poverty areas.
- ❑ Other:_____

❑ The SEA supports the development of external standards for content and pedagogical knowledge for new teachers and for teacher educators that could be tied to licensure exams.

❑ The SEA requires schools of education in the state to meet national accreditation standards (*e.g.*, the National Council for Accreditation of Teacher Education (NCATE)).

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-F.

❑ None

❑ The SEA could use assistance in this area.

G. What strategies does the SEA use to support the <u>licensure phase</u> of the professional development continuum?

❑ The SEA has an independent professional standards board that oversees licensure and recertification.

❑ The SEA has redesigned or is redesigning its licensure requirements for the following groups to be aligned with the K-12 content and performance standards.
- ❑ Teachers
- ❑ Administrators
- ❑ Aides/paraprofessionals

❑ The SEA has the following initial licensure requirements:
- ❑ Performance-based assessment that requires educators to demonstrate particular skills (*e.g.*, structured portfolios, observation to rate performance):
  - _____ for teachers
  - _____ for administrators
- ❑ Secondary teachers are required to have a college major in their subject matter

Note: On check-box questions, please check all that apply.

❑ Competency in use of educational technology

❑ The SEA has adopted teacher standards such as those developed by the Interstate New Teacher Assessment and Support Consortium (INTASC).

❑ The SEA uses state program approval standards for preservice education (*e.g.*, National Association of State Directors of Teacher Education and Certification (NASDTEC), state-developed standards, *etc.*).

❑ The SEA uses the criteria for administrator quality developed by the Interstate School Leaders Licensure Consortium (ISLLC)

❑ The SEA has a reciprocal licensure arrangement with other states.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-G.

❑ None

❑ The SEA could use assistance in this area.

H. What strategies does the SEA use to support the <u>induction of beginning teachers</u> (including teachers changing content area or grade) as a phase of the professional development continuum?

❑ The SEA assists LEAs in developing and implementing the following strategies to support new teachers in high-poverty schools:
  ❑ Reducing the new teacher's teaching load.
  ❑ Providing quality mentoring.
  ❑ Providing professional networks and other quality learning opportunities.
  ❑ Other:_____

❑ By providing financial incentives, additional training, release time or some combination, the SEA rewards "master teachers" in schools in high-poverty areas who mentor new or struggling teachers and provide ongoing advice and feedback.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-H.

❑ None

❑ The SEA could use assistance in this area.

I. What strategies does the SEA use to support the <u>ongoing support and professional development phase</u> of the professional development continuum?

❑ The state encourages the use of LEA-level professional development funds to support professional development tied to challenging state standards.
  ❑ Example:_____
  ❑ Example:_____

❑ The SEA supports data-driven, results-based professional development (*e.g.*, based on disaggregated state data) that is targeted to those areas with the greatest need and greatest potential for impact.

❑ The SEA promotes sustained, high-quality, research-based, school-based professional development which include:
  ❑ Subject matter networks.
  ❑ Peer coaching.
  ❑ Vertical/cross-curriculum study/workgroups.
  ❑ Teacher academies.
  ❑ Curriculum writing groups (to align curriculum with state standards).

Note: On check-box questions, please check all that apply.

❑ Standards-setting bodies (*e.g.*, teachers review student work, develop scoring matrices and other accurate, consistent and appropriate strategies for grading student work).

❑ Reconfiguring the school day to provide time for teachers to engage in planning/professional development/reflection.

❑ Cross-school learning communities at the local and regional level.

❑ Professional development delivered through educational technology.

❑ Other:_____

❑ Other:_____

❑ Teachers are encouraged to obtain National Board Certification (NBC).

❑ The SEA helps LEAs to build capacity among *all* staff, particularly regular classroom teachers, to work with targeted populations (*e.g.*, children who are economically disadvantaged, children with disabilities, migrant children, Indian children, limited English proficient children, homeless children, *etc*.).

❑ The SEA encourages LEAs to provide support for teachers who participate in high quality professional development experiences (*e.g.*, scheduled or release time, travel or tuition reimbursement).

❑ The SEA encourages LEAs to address the use of technology
  ❑ to deliver professional development.
  ❑ as a strategy integrated into instruction.

❑ The SEA encourages LEAs to develop compensation systems that reward excellence in teaching (*e.g.*, compensations systems linked to teacher knowledge, skill, performance, and growth in student achievement).

❑ The SEA and LEAs, in collaboration with IHEs, develop strong data-collection and analysis efforts and disseminate effective research-based practices and successful programs and strategies, particularly related to preparing teachers to teach in high-poverty schools.

❑ The SEA supports outcome measures of professional development that are linked to data-driven program development/improvement.

❑ The SEA provides research grants to teacher educators to research best practices for teaching in high-poverty areas with racially and culturally diverse populations and evaluates these practices to demonstrate their effectiveness and potential for replication.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-I.

❑ None

❑ The SEA could use assistance in this area.

J. What is the SEA doing to address the critical issue of equitable distribution of high-quality teachers between schools in high-poverty areas and schools in low or no-poverty areas?

❑ Collecting data to identify gaps of teacher quality between schools in high poverty areas and schools in low or no poverty areas.

❑ Providing technical assistance or incentives to LEAs to promote more equitable distribution of quality teachers among schools in high-poverty areas.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 3-J.

❑ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

K. What other teacher issues are being addressed by the SEA?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 3-K.

L. How does the SEA ensure that local and school-based professional-development efforts reflect not only the state standards, but also the needs of the individual school community?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 3-L.

M. What strategies are used to achieve a strong link between the SEA and the State Agency for Higher Education (SAHE)?

❑ The SEA and the SAHE work collaboratively to develop preservice and inservice initiatives and policies to improve teacher quality tied to the overall state reform efforts.

❑ Both the SEA and the SAHE are involved in developing the needs assessment and planning professional-development activities.

❑ Both the SEA and the SAHE are active participants in the reform of teacher and administrator preparation programs.

❑ Other:_____

❑ The SEA could use assistance in this area.

N. Approximately what percentage of teachers are teaching out of field[1], if known?   _____%

O. Has the SEA implemented a plan for addressing out-of-field[1] teaching? Explain.

❑ Yes; a description up to 3 lines in length is entered below:

_____

_____

_____

❑ Yes; a longer narrative response is attached. Identify this attachment as 3-O.

❑ No, but we have future plans, which are described as follows.

_____

_____

_____

❑ No, and we have no plans in this area.

---

[1] **Out-of-field teaching is defined as the teaching of a subject or grade by a person who is licensed (or certified) to teach in the state, but not licensed (or certified) to teach that particular subject or grade.**

Note: On check-box questions, please check all that apply.

4. Parent/Community Involvement

Quality Indicator: Effective state implementation of federal education programs involves parents and other community representatives in school improvement initiatives, and promotes a shared responsibility for achieving high standards in teaching and learning for all children.

A. Is there a coordinated plan for involving parents, business and other community representatives in statewide school improvement activities?

❑ The state has a clearly articulated overall parental involvement plan that describes ways parents can support student learning.

❑ The state's parent involvement plan incorporates efforts supported by federal, local, state, and private funding.

❑ The state has a plan for involving parents in state-funded statewide school improvement activities.

❑ The state has a plan for involving parents in federally-funded statewide school improvement activities.

❑ Other:_____

❑ The SEA could use assistance in this area.

B. How does the SEA support or promote family literacy programs?

❑ The state is supporting family literacy programs through the following national initiatives:
  ❑ America Reads
  ❑ Title I
  ❑ Even Start
  ❑ Head Start
  ❑ Reading Excellence Act
  ❑ Adult Education and Family Literacy Act

❑ The state is supporting family literacy programs through a state-developed program, which is described as follows:

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 4-B.

❑ The SEA does not actively promote family literacy programs.

C. What assistance do parents receive in understanding the state's content standards and student-performance standards, *e.g.*, printed materials, printed materials in languages other than English, training, other?

❑ Response up to 3 lines in length is entered below:

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 4-C.

Note: On check-box questions, please check all that apply.

D. How does the SEA rate the level of coordination and integration of parent involvement programs and activities with Title I, Head Start, Reading Excellence Act, Adult Education Family Literacy Act, Even Start, Goals 2000 Parent Information & Resource Centers, the Comprehensive Technical Assistance Centers, and public preschool programs in your state? Please mark only one choice.

❑ Excellent

❑ Very Good

❑ Good

❑ Fair

❑ Poor

E. Does the state have access to a federally-funded Parent Information and Resource Center (PIRC)?

❑ Yes, specify name of PIRC:_____

❑ No

F. How are programs coordinated with one another or with the Parent Information Resource Center (PIRC) to increase the involvement of parents in their children's education?

❑ The state plan includes provisions for program coordination with state programs and with PIRCs.

❑ The PIRC is used to provide technical assistance to LEAs, schools and other organizations, *e.g.*, PTA.

❑ State program reviews include benchmarks to identify the level of program coordination.

❑ The SEA would like more information about PIRCs.

G. Has the SEA signed on to the Department of Education's Partnership for Parent and Family Involvement in Education?

❑ Yes

❑ No, but the SEA has plans to do so.

❑ No, because: _____

H. Does the SEA encourage LEAs to join and use resources that are available through ED's Partnership for Parent and Family Involvement in Education? (1-877-ED-PUBS)

❑ Yes

❑ No, but the SEA has plans to do so.

❑ No, because: _____

I. What specific state-level outreach activities are designed for parents of homeless children, parents of students with disabilities, migrant parents, Indian parents, limited English proficient families, migratory families, and low-income families?

❑ Translated materials are accessible to parents.

❑ There is a state migrant parent advisory council.

❑ There is an Indian parent advisory council.

❑ Other:_____

❑ None

❑ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

J. Does the SEA monitor LEAs to ensure that parent/community activities that are included in the approved local plan are actually being implemented?

❑ No

❑ Yes. Describe:

_____

_____

_____

❑ Yes; a longer narrative description is attached. Identify this attachment as 4-J.

K. Are the results of the SEA monitoring reviews shared with parents, Parent Teacher Associations (PTAs), Parent Teacher Organizations (PTOs) and other community groups within the LEA that was monitored?

❑ No

❑ Yes. Describe:

_____

_____

_____

❑ Yes; a longer narrative description is attached. Identify this attachment as 4-K.

L. What are the SEA's procedures for addressing and investigating complaints from parents and others?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 4-L.

❑ The SEA does not have agreed-up procedures, but handles each case individually.

M. Does the SEA respond within 30 days to any complaint filed by a parent or group of parents concerning the implementation of parent involvement activities?

❑ Yes, the SEA responds within 30 days.

❑ The SEA's response time is _____ days.

❑ Other. Explain:

_____

_____

_____

Note: On check-box questions, please check all that apply.

N. How are LEAs encouraged to involve parents and community members?

❑ There is a state-developed parent involvement framework for LEAs.

❑ LEA funding formulas are linked to the level of parent involvement.

❑ There is an annual state review/assessment of LEA parental involvement programs.

❑ There are benchmark reports of LEA progress in improving the level and quality of parental involvement.

❑ LEAs are encouraged to involve Indian Parent Committees with other parent involvement strategies.

❑ The SEA ensures that each LEA consults with a regional advisory council in developing its Safe and Drug-Free Schools application or in developing the Safe and Drug-Free portion of its consolidated application.

❑ The state has developed special outreach efforts to maximize the participation of effective community-based organizations that provide services in low-income communities.

❑ The SEA uses technology to communicate with parents and parents can use technology to communicate with the SEA.

❑ LEA and school-level policies for parental involvement are expected to be in place.

❑ LEAs are expected to design and implement Title I school-parent compacts.

❑ LEAs are expected to conduct outreach activities to parents of students with disabilities, limited English proficient families and migratory families.

❑ LEAs are expected to make materials available to parents in their native language, where feasible.

❑ Other:_____

❑ The SEA could use assistance in this area.

O. How are the LEAs conducting evaluations of schools' parent involvement programs?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 4-O.

P. Is there an organized parent involvement body that promotes and fosters shared responsibility for high student performance operating in each school or LEA?

❑ Schools have a Parent-Teacher Association (PTA).

❑ Schools have a Parent-teacher organization (PTO).

❑ Schools have Title I PAC.

❑ Schools have Indian Ed, Migrant Ed or SDFS parent councils.

❑ Other:_____

❑ No

❑ The SEA does not have this information.

Note: On check-box questions, please check all that apply.

Q. What strategies does the SEA use to assist LEAs in designing and implementing parent compacts that serve as useful tools for shared responsibility for student performance?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 4-Q.

❑ The SEA has not been active in this area.

❑ The SEA could use assistance in this area.

R. How frequently does the SEA collect the Title I Parental Involvement Evaluations from its LEAs?

❑ Every 5 years

❑ Every 3 years

❑ Every 2 years

❑ Annually

❑ The SEA does not collect these evaluations.

❑ The SEA could use assistance in this area.

S. How are LEAs updated regularly about new parent-involvement initiatives offered by the Department of Education, the Justice Department and the White House (*e.g.*, America Reads Challenge, America Goes Back to School, Think College Early, Gear Up, MARS)?

❑ Through the SEA's Web page

❑ Other:_____

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 4-S.

❑ The SEA could use assistance in this area.

4. Parent/Community Involvement

5. Safe, Drug-Free Learning Environment

Quality Indicator. Effective state implementation of federal education programs promotes a safe, disciplined, drug-free and culturally sensitive school environment in which students can learn effectively.

(The following questions and indicators focus on the state's overall approach to promoting and creating safe learning environments for youth as well as addressing drug and violence-related issues that impact all families, schools and communities in the state.)

A. **Does the state require coordination of services from other state systems (for example, law enforcement or mental health services) with schools in order to develop a comprehensive approach to a safe, disciplined and drug-free learning environment?**

❑ The state requires coordination between schools and law enforcement.

❑ The state requires coordination between schools and mental health services providers.

❑ The state requires coordination between schools and community-based prevention activities.

❑ The state relies on those coordinated efforts being developed at the local level.

❑ Other: _____

❑ A longer narrative response is attached. Identify this attachment as 5-A.

B. **Does the state require LEAs to implement policies designed to decrease violent behavior among youth and help students feel safe in their schools?**

❑ The state requires a zero tolerance policy on guns and other weapons on school property.

❑ The state encourages schools to adopt school uniform policies for students.

❑ The state supports schools in their efforts to become community centers for students and parents.

❑ The state encourages LEAs to adopt policies in this area through initiatives such as model policies, but does not require adoption.

❑ No, the state leaves that up to local discretion.

❑ Other: _____

❑ A longer narrative response is attached. Identify this attachment as 5-B.

:

C. **Does the state require LEAs to implement policies designed to decrease youth alcohol, tobacco, and drug use and keep those substances out of schools?**

❑ The state requires that LEAs adopt a zero tolerance policy for use or possession of illegal drugs or alcohol at school.

❑ The state requires LEAs adopt a policy that prohibits student use of tobacco products at school.

❑ The state encourages LEAs to adopt policies in these areas through initiatives such as the development of model policies, but does not require adoption.

❑ No, the state leaves that up to local discretion.

❑ Other: _____

❑ A longer narrative response is attached. Identify this attachment as 5-C.

Note: On check-box questions, please check all that apply.

D. Do education goals adopted by the state include reduction of student drug use and violence? If so, please list them.

❑ The state has formally adopted measurable goals that address drug use and violence at school.

❑ The state has adopted goals for attendance.

❑ No, the state goals for education do not include issues related to drug use or violence at school.

❑ The state has adopted the following goals regarding drug use or violence at school; specify:

_____

_____

_____

_____

_____

E. Does the state collect objective information (*e.g.* data about rates of drug use or number of violent incidents) about the nature and extent of youth drug use and violence?

❑ The state collects information on these topics that produces state and LEA level data.

❑ The state lets LEAs decide whether or not to collect data on these topics.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 5-E.

F. How does the state use the data it collects about these topics?

❑ The state releases information about these topics to the public.

❑ The state uses the data to target resources and/or identify needs for special populations.

❑ The state uses the data to assess progress in preventing drug use and youth violence.

❑ The state uses the data to measure progress toward a state goal or standard.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 5-F.

G. In what ways does the state require or provide for the sharing of objective data about the drug and violence problems by LEAs with their communities?

❑ The state conducts surveys and other data collection activities that produce LEA-level information and provides that data to LEAs.

❑ The states requires LEAs to describe how they'll share information with the public about drug use and violence as part of their application for federal drug and violence prevention funding.

❑ The state leaves that up to local discretion.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 5-G.

Note: On check-box questions, please check all that apply.

H. How does the SEA persuade pre-service teacher preparation programs in the state to include instruction about classroom management practices, identification and referral procedures for students that need counseling services, or other skills or information designed to help teachers prevent drug use and violence in schools?

❑ The state requires completion of course work on these topics for licensure/certification.

❑ The state encourages IHEs that offer teacher preparation programs in the state to offer course work on these topics.

❑ These topics are not part of teacher preparation programs in the state.

❑ Other: _____

❑ A longer narrative response is attached. Identify this attachment as 5-H.

I. How does the state promote professional development activities that help school personnel select, implement, and evaluate research-based drug and violence prevention programs?

❑ The state relies on LEAs to implement professional development activities.

❑ The state develops and implements initiatives in this area.

❑ The state provides technical assistance to LEAs for such professional development.

❑ Other: _____

❑ A longer narrative response is attached. Identify this attachment as 5-I.

J. Does the state implement initiatives designed to identify and disseminate information about model programs and strategies?

❑ The state relies on LEAs to conduct program assessment activities and select strategies and programs for implementation.

❑ The state supports evaluation or other assessment activities designed to identify model programs and strategies being implemented in the state.

❑ The state integrates the identification of model programs and strategies with decisions about resource allocation.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 5-J.

K. On what basis does the state modify its existing plan and goals for preventing youth drug use and violence?

❑ Based on results of program evaluations

❑ Based on analysis of objective data about changes in those behaviors

❑ Based on regularly-scheduled reviews of the plan and goals

❑ The state does not have an established plan or process for reviewing its plan and goals for preventing youth drug use and violence.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 5-K.

Note: On check-box questions, please check all that apply.

L. What state initiatives or requirements have been implemented to promote safe and drug-free learning environments?

❑ Development and implementation of safe schools plans

❑ Implementation of conflict resolution strategies

❑ Implementation of student assistance programs

❑ Use of school uniforms

❑ Inclusion of related class instruction as part of overall school curriculum

❑ Implementation of drug-education training for teachers

❑ Requirement that students receive drug prevention education

❑ Other:_____

M. Does the state provide state funds for school-based drug- and violence-prevention initiatives?

❑ Yes, funds are provided through general revenues

❑ Yes, special taxes are assessed with revenues dedicated to drug and violence prevention (*e.g.*, tobacco tax)

❑ Yes, funds are awarded to all schools by formula and/or discretionary grant processes

❑ No, funds are provided through other earmarked sources

❑ Other:_____

Note: On check-box questions, please check all that apply.

6. Comprehensive School Reform

Quality Indicator: Effective state implementation of federal education programs encourages and facilitates comprehensive school reform, utilizing technology and strategies such as "schoolwide" programs (authorized under ESEA, section 1114) to upgrade the entire educational program so that all children within those schools will meet the state's high content and performance standards.

A. How does state policy encourage entire-school reform in local school districts?

❑ The state actively encourages and promotes entire-school reform and offers technical assistance in implementing reform efforts.

❑ The state offers incentives to schools that adopt an entire-school reform approach.

❑ The state has legislative authority that allows schools to combine state, local and federal resources.

❑ The state provides technical assistance when requested.

❑ The state neither encourages nor discourages entire-school reform, but prefers to leave it to local discretion.

❑ The state prefers targeting resources, because it is worried that specific groups of students may lose needed services in entire-school approach.

❑ The state discourages entire-school reform.

❑ The state is not actively encouraging entire-school reform, but would like to expand this approach.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 6-A.

❑ The SEA could use assistance in this area.

B. How does state policy encourage schools to integrate various state and local reform initiatives into a coherent entire-school program?

❑ The state actively encourages schools and districts to integrate or build upon the existing improvement initiatives.

❑ The state provides guidelines on ways in which school or district reform initiatives may be combined into a unified program.

❑ The state provides (or assists with obtaining) waivers to requirements that may impede the combination of reform initiatives into coherent programs.

❑ The state neither encourages nor discourages the unification of separate reform initiatives at the school or district level into a coherent whole, but prefers to leave this decision to local discretion.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 6-B.

❑ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

C. How does the state help districts provide technical assistance to schools using both state and federal funds?

❑ The state helps through its school support team system.

❑ The state identifies distinguished schools.

❑ The state identifies distinguished educators.

❑ The state provides assistance in integrating technology into instruction.

❑ The state uses its Web site or other electronic means to provide assistance.

❑ The state encourages the formation of networks of schools interested in comprehensive school reform.

❑ The state holds workshops on schoolwide programs for district personnel and principals.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 6-C.

❑ The SEA allows locals to identify their own technical assistance needs and design their own technical assistance plans.

D. How does state policy encourage identification and use of research-based materials, programs, or models that have evidence of effectiveness as a central feature of comprehensive school improvement plans?

❑ State policy encourages schools and districts to construct their comprehensive school improvement plans with materials, programs, or models that are research-based and have evidence of effectiveness.

❑ The state assists schools and districts in locating materials, programs, or models that demonstrate evidence of effectiveness in addressing the identified learning needs in the schools or district.

❑ The state provides incentives to schools and districts to adopt for their comprehensive school improvement plan materials, programs, or models that demonstrate evidence of effectiveness.

❑ The state neither encourages nor discourages schools or districts from adopting research-based materials, programs, or models within local school improvement plans; it prefers to leave this decision to local decision-makers.

❑ Other:_____

❑ The SEA could use assistance in this area.

E. **How does state policy encourage the implementation of schoolwide programs (under ESEA §1114) to enable the blending or reallocation of all school resources as part of a comprehensive school reform effort to better serve all children in an entire school?**

❑ The state has a policy that encourages schools and districts to blend or reallocate all their resources in a comprehensive school reform program to serve all children in an entire school.

❑ The state provides guidance and technical assistance to help schools and districts use budgeting approaches that blend or reallocate resources so that individual improvement initiatives can be combined to make a unified reform effort for entire schools.

❑ The state provides waivers to schools or districts from state requirements that inhibit the blending or reallocation of all resources in a comprehensive school reform plan.

❑ The state would like to encourage the blending or reallocation of school building resources to support a comprehensive school reform plan, but is concerned about conducting such efforts consistent with federal audit requirements.

❑ Other:_____

❑ The SEA could use assistance in this area.

F. **In which of the following areas (as identified in "An Idea Book on Planning, Volume I") does the SEA provide leadership and support to districts and schools in their planning of schoolwide programs[2]?**

❑ Goals of the schoolwide programs option

❑ Essential elements

❑ Establishing a planning team

❑ Conducting a comprehensive needs assessment

❑ Clarifying needs and finding research-based strategies

❑ Setting schoolwide program goals

❑ Writing the schoolwide plan

❑ Finalizing the schoolwide plan

❑ High-quality technical assistance and support for planning

❑ Sustaining schoolwide programs through accountability and continuous improvement

G. **How many schools operate schoolwide programs[2] in the state? Provide the count categorized by schools that are eligible and those that have received waivers to operate as schoolwide?**

School Level	Number of Schools Eligible[3] to Operate as a Schoolwide Program	Number of Eligible[3] Schools that Operate as a Schoolwide Program	Number of Schools NOT Eligible[3] to Operate as a Schoolwide Program	Number Of Schools NOT Eligible[3], but that Received a Waiver to Operate as a Schoolwide
Elementary schools				
Middle schools				
High schools				

---

[2] Schoolwide programs means programs operating under the provisions of ESEA, §1114

[3] Eligible means those with at least 50% poverty and that receive Title I funds.

Note: On check-box questions, please check all that apply.

H. To what extent are LEAs combining federal funds, other than Title I, Part A, in schoolwide programs[4]?

❑ Varies so much from locality to locality that it is impossible to give a general picture.

❑ These federal program funds are combined in schoolwide programs. Check (✓) boxes as appropriate.

PROGRAM	Most Schoolwide Schools	Many Schoolwide Schools	Few Schoolwide Schools	No Schoolwide Schools
Title I, Part A (Basic)				
Title I, Part B (Even Start)				
Title I, Part C (Migrant)				
Title II (Eisenhower)				
Title III, Part A,2 (TLCF)				
Title IV (SDFSC)				
Title VI (Innovative Educ.)				
Title IX (Indian Education)				
McKinney Act (Homeless)				
Perkins Vocational Educ.				
Title VII (Bilingual)				
IDEA, Part B (Special Educ.)				
School to Work				
Other				

I. Across the state, to what extent are state or local resources combined in schoolwide programs[4] or entire-school reform?

❑ Local programs and resources are fully integrated.

❑ Selected local programs and resources participate.

❑ State programs are fully integrated.

❑ Some state programs are involved.

❑ Schoolwide programs combine only federal program funds.

❑ Schoolwide programs generally only incorporate Title I, Part A, funds.

❑ Other:_____

---

[4] Schoolwide programs means programs operating under the provisions of ESEA, §1114

Note: On check-box questions, please check all that apply.

J. Generally, how are schoolwide programs[5] being implemented across the state?

Components of a Schoolwide Program (Section 1114(b)(1))	Always	Usually	Some-times	Never
Schoolwides upgrade the school's entire educational program.				
Needs Assessment. Schoolwides have a comprehensive, data-based needs assessment that includes all students in the school and is aligned with the state's standards.				
Schoolwide Reform Strategies. Based on needs identified in the needs assessment, schoolwides use enriched and accelerated curriculum to enable all children, particularly those in targeted populations, to reach the state's content and performance standards.[6]				
Highly Qualified Professional Staff. Schoolwides have teachers and other staff who know how to use data that measure the extent to which students are meeting the standards and select instructional strategies that are the most effective at helping students reach those standards.				
Professional Development. Professional development matches the needs of the staff and students, is based on the results of comprehensive needs assessment, is ongoing, and positively impacts student achievement, including that of the lowest achieving students.				
Parent Involvement. Parents are involved in developing the schoolwide plan and in establishing family involvement activities. Further, they participate in teacher-parent conferences, in the review of student progress toward attainment of state standards and in shaping strategies to ensure that all children meet the standards				
Transition from Early Childhood Programs. An elementary schoolwide program addresses the transition of children from early childhood programs to the schoolwide program. There is evidence that the early childhood program communicates with the schoolwide.				
Effective, Timely, Additional Assistance. Students needs are identified in a timely way and, if a student is not satisfactorily progressing, teachers offer additional assistance to address those needs (not just additional time, but also more effective use of their time).				

---

[5] Schoolwide programs means programs operating under the provisions of ESEA, §1114

[6] Or local standards where the state does not have state standards.

K. What procedures does the state have in place to ensure that the required components of schoolwide programs[7] are adequately addressed in schoolwide plans?

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 6-K.

❑ The state does not have procedures in place to ensure this.

L. What kinds of data does the state collect to show if at-risk students in schoolwide schools[7] are achieving to high state standards?

❑ State assessments are linked to the standards; and results of the assessments can be disaggregated to demonstrate the achievement level of students in schoolwide schools.

❑ The state has a third-party evaluation underway that will demonstrate the achievement of students in schoolwide schools.

❑ The state cannot identify how particular students are doing, but will have data showing how each school is making adequate yearly progress.

❑ Other: _____

❑ The SEA will not have these kinds of data.

❑ The SEA could use assistance in this area.

M. Which of the following provisions related to schoolwides[7] does the SEA ensure?

❑ The schoolwide program addresses the needs of children who are members of the target population of any federal program whose funds are combined in the schoolwide program

❑ Where Migrant Education funds are combined in a schoolwide program, the schools do the following as required in 34 CFR 200.8(c)(3)(ii)(B)(1):
    ❑ Consult with parents of migrant children and/or organizations representing those parents
    ❑ Address the identified needs of migrant children that result from the effects of their migrant lifestyle or are needed to permit them to participate effectively in school
    ❑ Document that services to address those needs have been provided

❑ Where Indian Education funds are combined in a schoolwide program, the parent advisory council established by the LEA under Section 9114(c)(4) approves the inclusion of those funds.

❑ Where IDEA, Part B, funds are combined in a schoolwide program, all other requirements of the IDEA, Part B, such as those concerning the rights and services afforded to individual children with disabilities, are met.

---

[7] Schoolwide programs means programs operating under the provisions of ESEA, §1114

Note: On check-box questions, please check all that apply.

7. Coordination of Programs and Use of Flexibility Provisions

Quality Indicator: Effective state implementation of federal education programs coordinates federal programs with each other and with state initiatives and takes advantage (where appropriate) of flexibility provisions in federal legislation, in exchange for accountability for improved outcomes, while ensuring that populations targeted by the programs are appropriately served and that resources are targeted to areas of greatest need.

A. How does the SEA handle the use of a consolidated LEA application?

❑ The SEA requires LEAs to apply for funds though a consolidated application.

❑ The SEA provides a consolidated LEA application and encourages its use.

❑ The SEA provides a consolidated LEA application, but neither encourages nor discourages its use.

❑ The SEA's consolidated LEA application includes the following programs
   - ❑ ESEA Title I Part A
   - ❑ ESEA Title I Part B—Even Start
   - ❑ ESEA Title I Part C—Migrant
   - ❑ ESEA Title I Part D—N or D
   - ❑ ESEA Title II—Eisenhower
   - ❑ ESEA Title III--Technology Literacy[8]
   - ❑ ESEA Title IV—Safe, Drug Free Schools
   - ❑ ESEA Title VI—Innovative Strategies
   - ❑ CSRD*

❑ The SEA is developing a consolidated LEA application, but isn't currently using one.

❑ The SEA does not plan to develop a consolidated LEA application.

B. If the SEA uses a consolidated LEA application, how does the SEA encourage consolidated LEA planning?

❑ Through coordinating federal subgrant planning with state-funded LEA program planning

❑ Through coordinating federal program LEA subgrant planning

❑ By requiring common deadlines for federal LEA subgrant applications

❑ By offering training and technical assistance in this area to LEAs

❑ Other:_____

❑ The SEA could use assistance in this area.

C. Does the state have a policy regarding planning school services for students where funds are available from more than one federal education program?

❑ No, such decisions are left to LEAs and schools implementing the programs.

❑ Yes, all schools are encouraged to coordinate planning across federal programs.

❑ Yes, but only for schools engaged in schoolwide programs.

❑ Yes, schools are encouraged to coordinate uses of funds based on student needs.

❑ The SEA is beginning to develop policy in this area, but is not yet using it.

❑ The SEA could use assistance in this area.

---

[8] While these programs may be consolidated under the ESEA Title XIV provisions permitting local consolidated applications, the funds are awarded competitively to LEAs. LEAs must meet the planning requirements for this program (such as the requirement that TLCF subgrantees must have approved educational technology plans), and it may prove difficult in practice to include them in the LEA consolidated application.

D. Is the state an Ed-Flex[9] state?

❏ No—Answer question E, skip questions F-H, then proceed with Section 8 of this instrument.

❏ Yes—Skip question E, go to question F and proceed from there.

E. For non-Ed-Flex[9] states: Does the state have a policy regarding waivers?

❏ No, LEA requests for waivers are routinely sent forward to the Department.

❏ Yes, LEA requests for waivers are reviewed to make sure the request is necessary.

❏ Yes, the SEA actively promotes the use of waivers to:
   ❏ Implement schoolwide projects.
   ❏ Use Eisenhower program funds for professional development in all content areas.
   ❏ Reduce class-size in single small school districts through partial funding for additional teachers.
   ❏ Reduce administrative burden.
   ❏ Other _____

❏ Other:_____

❏ The SEA could use assistance in this area.

F. For Ed-Flex[9] states: How does the SEA monitor approved waivers?

❏ No monitoring beyond the review of required LEA reports is carried out.

❏ Monitoring of progress towards the goals of waivers is carried out as part of routine state monitoring of federal education programs.

❏ State staff are assigned ongoing monitoring responsibilities for waivers.

❏ Other:_____

❏ The SEA could use assistance in this area.

G. For ED-Flex[9] states: What does the SEA require for accountability from waiver recipients?

❏ The SEA monitors progress against state standards in districts with waivers.

❏ The SEA requires that waiver recipients meet Title I requirements for adequate yearly progress.

❏ The SEA requires specific student achievement goals of each waiver recipient that exceed annual yearly progress goals or SEA expectations of progress for similar schools without waivers.

❏ Districts that fail to meet their waiver goals after two years:
   ❏ Lose the waiver.
   ❏ Receive intensive technical assistance.
   ❏ Are subject to increased monitoring.
   ❏ Must adhere to special conditions for the remainder of the waiver period.
   ❏ Continue the waiver for the duration of the waiver period.

❏ Other:_____

❏ The SEA could use assistance in this area.

---

[9] Ed-Flex states are those that have Ed-Flex authority, either approved under the Goals 2000 Ed-Flex authority limited to 12 states or later approved under the Education Flexibility Partnership Act of 1999 that opened Ed-Flex participation to all states.

Note: On check-box questions, please check all that apply.

H. For ED-Flex[10] states: How has the SEA used waiver provisions?

❑ To implement school-wide planning provisions in additional schools

❑ In initiatives that also employ waivers of state rules to encourage consolidated and coordinated local plans for state, federal, and local funds

❑ In conjunction with state waivers to encourage local district educational innovation

❑ Other:_____

❑ The SEA could use assistance in this area.

---

[10] Ed-Flex states are those that have Ed-Flex authority, either approved under the Goals 2000 Ed-Flex authority limited to 12 states or later approved under the Education Flexibility Partnership Act of 1999 that opened Ed-Flex participation to all states

8. Subgrant Recipients

Quality Indicator. Effective state implementation of federal education programs provides oversight of and assistance to subgrant recipients through a system of support for local education agencies, schools and other subgrant recipients to assist them in effective program implementation and to encourage their continuous improvement.

A. **What are the state's procedures for monitoring compliance with federal programs at the local level?**

   ❑ State officials monitor each federal program separately to ensure compliance.

   ❑ Teams of state officials take a cross-cutting approach to monitoring federal programs.

   ❑ On-site monitoring is conducted every_____ year(s).

   ❑ Monitoring is handled largely through telephone and written reports.

   ❑ Priority in monitoring is given to large or at-risk districts.

   ❑ The state has a formal, written monitoring instrument(s).

   ❑ The LEA receives a written report after a monitoring visit that describes findings.

   ❑ The SEA has a procedure for following up with LEAs and providing technical assistance as a result of monitoring visits.

   ❑ LEAs conduct a self-review in preparation for the SEA monitoring visit.

   ❑ Other:_____

   ❑ The SEA could use assistance in this area.

B. **Does the state have adequate oversight and monitoring procedures for systematically reaching all LEAs in a reasonable time period?**

   ❑ Yes

   ❑ No

C. **What strategies does the SEA use to ensure progress by LEAs in accordance with statewide plans for school improvement?**

   ❑ Annual or semiannual assessments measure student progress according to state standards in the following curriculum areas (specify): _____

   ❑ State teams maintain contact and file reports.

   ❑ State and locally sponsored outside evaluations are conducted.

   ❑ LEAs submit regular self-assessment reports.

   ❑ Other:_____

D. **What activities has the SEA undertaken in the previous 12 months to assist LEAs with more effective administration of their federal subgrants of ESEA programs?**

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ A longer narrative response is attached. Identify this attachment as 8-D.

E. What is the state's role in assisting LEAs with federal programs that are not state administered (*e.g.*, Indian Education, Magnet Schools, PIRCs)?

❑ The state has an Indian Education office that coordinates Indian education programs throughout the state.

❑ The state provides technical assistance.

❑ The state leaves locally administered programs totally to local discretion.

❑ The state actively participates in or contributes to parent involvement efforts, including the PIRCs.

❑ Other:_____

❑ The state plays some role in the following locally administered federal programs:

Locally Administered Program	Active State Role	Minor State Role	No State Role

F. What is the progress of state evaluations of federal programs?

❑ The state is not sponsoring any outside evaluations of federal programs.

❑ The state is coordinating a number of locally sponsored evaluations.

❑ Interim reports of evaluations are complete.

❑ Final reports of evaluations are complete or are expected by _____.

❑ State evaluations cover the following federal programs and/or requirements:

Name of Program or Topic Being Evaluated	Date Interim Report Will Be Available	Date Final Report Will Be Available

Note: On check-box questions, please check all that apply.

G. Does the state have a system for providing technical assistance in areas supported by federal programs?

❏ The state provides technical assistance through funding set aside from federal program grants.

❏ The state acts as a broker between LEAs and the federally-supported Comprehensive Center serving the region.

❏ The state uses federal funding to purchase technical assistance for state level activities.

❏ The state provides technical assistance to LEAs applying for funds under programs where the state sponsors subgrant competitions.

❏ Other:_____

❏ The SEA could use assistance in this area.

H. How does the state ensure that LEAs and other recipients of federal funds are familiar with federal legislative and/or regulatory requirements?

❏ The state obtains and distributes copies of all statutes, regulations and guidelines to LEAs.

❏ The state relies on federal distribution of these documents.

❏ The state maintains a federal liaison office that gives technical assistance to LEAs through dissemination of information, on-site visits, etc.

❏ The SEA provides information on its Web site.

❏ Other state agencies provide information on their Web sites.

❏ Other:_____

❏ The SEA could use assistance in this area.

9. Statutory and Regulatory Requirements.

Quality Indicator. Effective state implementation of federal programs carries out all statutory and regulatory requirements, including eligibility, allocation, comparability of resources, and other fiscal issues.

[This section of the *State Self-Review* will include (only) those statutory and regulatory requirements that could not suitably be considered under one of the first eight quality indicators.]

A. Statutory and Regulatory Requirements That Cut Across Multiple ESEA Formula Grant Programs.

1. Does the SEA consolidate federal funds reserved at the state level for general administration as provided under Sections 1603 or 14201 of the ESEA?

❑ Not at all. Funds from each federal program at the state level are maintained for administration activities required by that program.

❑ To the fullest extent allowed by law for programs listed in the chart below.

Program	Amount Combined
ESEA, Title I, Part A (Basic Programs)	
ESEA, Title I, Part B (Even Start)	
ESEA, Title I, Part C (Migrant)	
ESEA, Title I, Part D (Neglected, Delinquent, At-Risk)	
ESEA, Title II [11] (Eisenhower)	
ESEA, Title III, Part A, Subpart 2 (TLCF)	
ESEA, Title IV [12] (SDFSCA)	
ESEA, Title VI (Innovative Education Programs)	

❑ The SEA can demonstrate that the majority of SEA resources come from non-federal sources.

❑ The consolidation of administrative funds allows each program consolidated to have the necessary resources for monitoring and technical assistance.

❑ The following programs have experienced difficulty in supporting the administration of the programs with consolidated administrative funds (specify):_____

2. How does the SEA actively assist and monitor LEAs to ensure that the maintenance-of-effort requirements are met?
[See glossary on p. 55 for definition and programs to which this requirement applies.]

(a) Maintenance of effort is calculated annually by the:

❑ LEA

❑ State

(b) Describe the state's procedure for calculating maintenance of effort. Include such information as categories of expenditures that are included and categories of expenditures that are excluded.

❑ Narrative response is attached. Identify this attachment as 9-A-2(b).

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[11] Other than Section 2103 and Part C
[12] Other than Section 4114

(c) How many LEAs did NOT meet the maintenance-of-effort requirement: _____

(d) Did the SEA reduce each LEA's allocation under each covered program by the required percentage where the maintenance of effort requirement was not met?

❑ Yes

❑ No, because: _____

❑ Not applicable

(e) Is the SEA consistent in the manner in which it calculates maintenance of effort from year to year?

❑ Yes

❑ No. Explain: _____

❑ A longer narrative response is attached. Identify the attachment as 9-A-2(e).

3. **How does the SEA ensure that LEAs meet the comparability requirement?**
[See glossary on p. 55 for definition and programs to which this requirement applies.]

❑ The LEA has filed a written assurance that it has implemented:
- ❑ A policy to ensure equivalence among schools in teachers, administrators, and other staff
- ❑ A policy to ensure equivalence among schools in the provision of curriculum materials and instructional supplies

❑ The LEA compares the average number of students per instructional staff or the average staff salary per student in each school receiving Title I, Part A. and Title I, Part C. with schools that do not receive those funds.

❑ The LEA has calculations on file that document compliance with the comparability requirement (calculations should be updated biennially).

❑ The SEA monitors LEAs to ensure that they are in compliance with the comparability requirement.

❑ A-133 single audits verify that LEAs are in compliance with this provision.

❑ The SEA provides technical assistance to LEAs to help them meet this requirement.

❑ The SEA requires LEAs to provide a written assurance as part of their LEA application that they are in compliance with this provision.

❑ Other:_____

❑ The SEA could use assistance in this area.

4. How does the SEA ensure that LEAs meet the "supplement-not-supplant" requirement?
[See glossary on p. 55 for definition and programs to which this requirement applies.]

❑ The SEA monitors individual LEAs to ensure that they are in compliance with this provision.

❑ A-133 single audits verify that LEAs are in compliance with this provision.

❑ The SEA provides technical assistance to LEAs to help them meet this requirement.

❑ The SEA requires LEAs to provide a written assurance as part of their LEA application that they are in compliance with this provision.

❑ Other:_____

❑ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

5. **Which of the following strategies does the SEA ensure that LEAs are implementing in regard to ensuring that private school children and teachers participate equitably in those programs requiring such participation?**

Provision	Title I, Pt A	Title I, Pt C MEP	Title II[13] Eisen-hower	Title III, A,2 TLCF	Title IV, Part A[14] SDFSC	Title VI Innov. Ed.Prog
LEAs have timely and meaningful consultation with appropriate private school officials.						
Consultation occurs *before* any decisions are made regarding services.						
A public agency supervises the use of funds and property.						
Services are secular, neutral and nonideological.						
Services to private school students and teachers are equitable to those provided to public school students and teachers.						
Expenditures for private school students and teachers are equitable to those for public schools students and teachers.						
Funds used to provide services to private school students are not mingled with non-federal funds.						

6. **What strategies does the SEA utilize to assist LEAs in implementing strategies to provide equitable services to private schools children and teachers in those programs that require such participation?**

    ❑ The SEA provides written guidance in this area.

    ❑ The SEA includes sessions on this topic in grantee workshops/training.

    ❑ The SEA verifies these actions through its subgrantee monitoring process

    ❑ Other: _____

    ❑ The SEA could use assistance in this area.

7. **How many LEAs use outside contractors to provide services to private school children?_____**

8. **What systematic structured opportunities are there for the coordination of services provided by programs included in the consolidated plan with other programs such as IDEA?**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ A longer narrative response is attached. Identify this attachment as 9-A-8.

9. **Does the SEA have any open single audit or ED OIG audit issues/findings for which ED can provide technical assistance?**

    ❑ Yes. Explain:_____

    ❑ A longer narrative response is attached. Identify this attachment as 9-A-9.

    ❑ No

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[13] Other than Section 2103 and Part C

[14] Other than Section 4114

10. Does the SEA anticipate any issues/problems arising that could result in a finding in an upcoming audit, *e.g.*, maintenance of effort, excess cash, subrecipient monitoring, internal controls, financial management?

❑ Yes. Explain:_____

❑ A longer narrative response is attached. Identify this attachment as 9-A-10.

❑ No

11. What procedures does the SEA have to ensure corrective action is taken on its audit findings?

❑ Explain:_____

❑ Explain:_____

❑ The SEA does not have such procedures.

12. Has the SEA recently taken corrective action on any audit issues of which ED may not be aware?

❑ Yes. Explain:_____

❑ No

❑ Documentation is attached. Identify this attachment as 9-A-12.

13. Are there any audit-related requirements or other requirements that the SEA perceives as barriers in accomplishing an administrative task or carrying out the flexibility provisions, such as consolidating administrative funds?

❑ Yes. Specify:_____

❑ A longer narrative response is attached. Identify this attachment as 9-A-13.

❑ No

14. How does the SEA ensure that OMB's A-133 Single Audit requirements (such as audits conducted annually, submitted in timely manner and meet the required standards) are carried out in all LEAs receiving *over* $300,000 in federal funds?

❑ Specify:_____

❑ Specify:_____

❑ The SEA relies on LEAs to implement A-133 Single Audit requirements.

❑ A longer narrative response is attached. Identify this attachment as 9-A-14.

15. What procedures does the SEA have to ensure that LEAs take corrective action on their audit findings?

❑ Specify:_____

❑ Specify:_____

❑ The SEA relies on LEAs to take corrective action on their audit findings.

❑ A longer narrative response is attached. Identify this attachment as 9-A-15.

16. How does the SEA monitor LEAs that fall *under* the $300,000 audit threshold to determine whether they have managed and expended federal grant funds appropriately?

❑ Specify:_____

❑ Specify:_____

❑ The SEA relies on LEAs to apply responsible fiscal procedures.

❑ A longer narrative response is attached. Identify this attachment as 9-A-16.

Note: On check-box questions, please check all that apply.

GLOSSARY FOR SECTION 9A

Comparability—A provision specifies that LEAs may receive funds under Title I, Part A and Title I, Part C, only if state and local funds will be used in Title I participating schools to provi de services that, taken as a whole, are at least comparable to services the LEA is providing in schools that are not receiving Title I funds.

Maintenance of effort—A provision that requires that an LEA's combined fiscal effort per student or the aggregate expenditures of state and local funds for free public education for the preceding year was not less than 90 percent of the expenditures for the second preceding year. Under ESEA §14501 this requirement applies to:

- Title I, Part A (Basic Programs)
- Title I, Part C (Migrant Education)
- Title II (Eisenhower Professional Development) other than §2211 and Part C;
- Title III, Part A, Subpart 2 (TLCF); and
- Title IV (Safe and Drug-Free Schools and Communities) other than §4114.

Title VI (Innovative Education) and Class Size have separate maintenance-of-effort provisions.

Supplement-not-supplant—A requirement of some programs that funds from the federal program not be used for any purpose that would have been met by state and/or local funds had the federal funds not been available. This requirement applies to:

- ESEA, Title I Parts A, C, and D;
- ESEA, Title VI;
- ESEA, Title I, §1502, CSRD;
- Class-Size Reduction;
- ESEA, Title III, Part A, Subpart 2, TLCF; and

B. ESEA Title I, Part A—Basic Program

1. **How is the state using Title I administrative funds, if they are not consolidated?**

   ❑ Title I Part A administrative funds are consolidated under Title XIV

   ❑ To pay for SEA staff, supplies, etc., to administer Title I, Part A

   ❑ To coordinate Title I with other federal and non-federal programs

   ❑ To establish and operate peer-reviews

   ❑ To disseminate information about model programs and practices

   ❑ To subsidize school support teams

   ❑ Other:_____

2. **What poverty data does the SEA use to allocate funds to LEAs (*e.g.*, federal formula, free- and reduced-price lunch count, *etc.*)?**

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

3. **What percentage of Title I funds is reserved for school improvement? _____ %**

4. **How are Title I funds that are reserved for school improvement used?**

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

5. **How are LEAs that applied for Capital Expense funds using them?**

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

   ❑ Specify:_____

6. **Has the state established a Committee of Practitioners?**

   ❑ The state has established a Committee of Practitioners, and it functions effectively.

   ❑ The state has established a Committee of Practitioners, but could use assistance in improving how it functions.

   ❑ The state has not yet established a Committee of Practitioners.

Note: On check-box questions, please check all that apply.

7. **What are the state's procedures for the reallocation of Title I funds?**

    ❑ Response up to 3 lines in length is entered below.

    _____

    _____

    _____

    ❑ A longer narrative response is attached. Identify this attachment as 9-B-7.

8. **What are the state's priorities for reallocation?**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ The SEA has not set priorities for reallocation.

9. **How has the SEA ensured that LEAs provide for equitable participation of eligible children in each private school with funds generated by children from low-income families?**

    ❑ Response up to 3 lines in length is entered below.

    _____

    _____

    _____

    _____

    ❑ A longer narrative response is attached. Identify this attachment as 9-B-9.

Other Title I, Part A, Topics That May Be Discussed During the On-Site Review

LEA:

- LEA Ranking and Allocations
- Participation of Private School Children
- Parental Involvement
- Schoolwide Plans
- Fiscal Requirements:
  - Maintenance of Effort
  - Comparability
  - Supplement-Not-Supplant
- School Improvement Requirements
- Professional Development
- Assessments and Evaluations
- Waivers

SEA:

- Content and Performance Standards
- School Support Teams
- Assessments
- District and School Improvement
- Maintenance of Effort
- Allocation of Funds
- Committee of Practitioners
- Waivers
- State Administration
- Reallocation of Funds
- Capital Expense Funds
- Audits
- State Reform and Coordination Efforts

C. ESEA Title I, Part B—Even Start Family Literacy Program

1. **How does the state apply the statutory criteria in Section 1208(a)(1)(A-H) of the Even Start statute in selecting applications for local subgrants?**

    ❏ Response up to 3 lines in length is entered below.

    _____

    _____

    _____

    ❏ A longer narrative response is attached. Identify this attachment as 9-C-1.

2. **Were the applications reviewed by a panel of at least three members?**

    ❏ Yes; with individual panel members representing such groups as:
    - ❏ early childhood education
    - ❏ adult education
    - ❏ local board of education
    - ❏ parent-child education organization
    - ❏ business or industry
    - ❏ community-based literacy organization
    - ❏ an individual who has been involved in implementing Title I program
    - ❏ Other:_____

    ❏ No

3. **The SEA gives priority to:**

    ❏ Even Start applications that target services to families residing in areas of the state with high levels of poverty, illiteracy, unemployment, limited English proficiency or other need-related factors

    ❏ Even Start applications for projects that are located in areas designated as empowerment zones or enterprise communities

    ❏ None of these

4. **Did the SEA award subgrants only to partnerships between one or more LEAs and one or more public or private non-profit organizations?**

    ❏ Yes

    ❏ No

5. **How many subgrants were awarded for amounts less than $75,000?** _____

6. **How much did the state reserve for Even Start state administrative purposes?** _____

7. **Did the state consolidate Even Start administrative funds with the administrative funds of other IASA programs?**

    ❏ Yes. Answer question 8, skip question 9, go to question 10 and proceed from there

    ❏ No. Skip question 8, go to question 9 and proceed from there.

Note: On check-box questions, please check all that apply.

8. **For state that consolidated administrative funds: What activities were conducted to support local Even Start projects under consolidated administration?**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

9. **For state that did not consolidate Even Start administrative funds: For what purposes were Even Start state administrative funds used?**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

10. **Do all Even Start families participate in all four core components?**

    ❑ Yes

    ❑ No, because:_____

11. **Provide some examples of activities conducted by projects through the summer months meeting the requirement for year-round services.**

    ❑ Example:_____

    ❑ Example:_____

12. **Provide some examples of how Even Start projects have accommodated families' work schedules and other responsibilities in designing service delivery.**

    ❑ Example:_____

    ❑ Example:_____

13. **Describe assistance provided by the state to local projects in designing useful local evaluations.**

    ❑ Response up to 3 lines in length is entered below.

    _____

    _____

    _____

    ❑ A longer narrative response is attached. Identify this attachment as 9-C-13.

14. **What challenges have local projects faced in meeting the requirement to build on existing resources?**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

15. **Provide examples of how local projects define families who are most in need of Even Start services.**

    ❑ Example:_____

    ❑ Example:_____

16. Provide examples of how local projects recruit families who are most in need of Even Start services.

❑ Example:_____

❑ Example:_____

17. Have projects provided a local share match through cash or in-kind contribution that is at least equal to ten percent of the total cost of the project in the first year of operation, 20 percent in the second year, 30 percent in the third year, 40 percent in the fourth year, and 50 percent in the fifth and all remaining years of the project?

❑ Yes, all local projects have provided the required local share match.

❑ No, we have provided waivers to local projects that were unable to meet the matching requirement.

❑ No, some local projects did not meet the local share match and did not have a waiver of this provision.

18. Have projects used federal Even Start funds to pay indirect program costs as a direct charge to the program or to fulfill part or all of the matching requirement?

❑ No

❑ Yes, the SEA has granted waivers to some local projects that were unable to meet the prohibition against charging indirect costs to the program.

❑ Yes, some LEAs have charged indirect costs to the program without a waiver.

19. Has the SEA developed or adopted "indicators of program quality" for the Even Start Program?

❑ Yes

❑ No. Skip question 20, go to question 21 and proceed from there.

20. How are the indicators of program quality used?

❑ To monitor Even Start programs

❑ To evaluate Even Start programs

❑ To improve Even Start programs

21. Has the state ever discontinued a local Even Start program on the basis of insufficient progress?

❑ Yes. Proceed to question 22.

❑ No. Skip question 22 and proceed to the next sub-section.

22. In regard to discontinuing a local Even Start program, on what basis did the SEA determine that insufficient progress had been made?

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 9-C-22.

Note: On check-box questions, please check all that apply.

D. ESEA Title I, Part C--Migrant Education Program (MEP)

1. **The SEA has a current plan for statewide identification and recruitment (I&R) which may or may not be formally written. (Section 1301(e))**

    ❑ The SEA has a written I&R plan.

    ❑ Recruiters periodically survey areas where there are no current MEP projects to see if there are changes in the population that would warrant establishing a project and changing the statewide distribution of funds.

    ❑ Other: _____

2. **The MEP (state and local) has roughly _____ (*provide number)* full time equivalent (FTE) staff involved in the identification and recruitment of migrant students and has the following recruiting infrastructure:**

    ❑ Statewide recruiter(s)/staff who design/conduct recruitment activities year round

    ❑ Year-round recruiters who recruit in large regions

    ❑ Year-round recruiters who recruit out of local project sites

    ❑ Summer-only recruiters who recruit out of local project sites

    ❑ Other organizations/agencies are contracted to conduct recruitment activities

    ❑ Other:_____

3. **With what organizations and data sources does the state coordinate to determine where migrant families reside? (Section 1304(c)(1)(B))**

    (a) Organizations:

    ❑ Migrant Education Programs in other states

    ❑ Migrant Health

    ❑ Migrant Head Start

    ❑ JTPA 402 program

    ❑ Others:_____

    (b) Data Sources:

    ❑ School enrollment forms

    ❑ Agriculture census data (www.nass.usda.gov/census/)

    ❑ State/local health department or other organizations that inspect migrant labor camps

    ❑ Referrals from other migrant families

    ❑ Others:_____

4. **What quality control procedures does the SEA have in place to ensure the accuracy of eligibility determinations? (Sections 1303(a)(1), 1303(e), 1304(b)(3), 1304(c)(1)(B) & 1308(b)(1))**

    ❑ The SEA has a standard certificate of eligibility (COE) that is used statewide.

    ❑ Information used to establish a student's eligibility is based on a personal interview with a parent, guardian or other responsible adult.

    ❑ The SEA trains recruiters on how to determine student eligibility, including providing training on the basic eligibility definition, principal means of livelihood, temporary vs. seasonal work, what constitutes an agricultural or fishing activity, processing, industrial surveys, *etc*.

❑ The SEA has a formal process, beyond the recruiter's determination, for reviewing/ ensuring the accuracy of written eligibility information.

❑ The SEA has both a local and a state-level process for resolving eligibility questions.

❑ The SEA has a process for ensuring the quality of interviewers' eligibility decisions beyond just reviewing documentation for face validity.

❑ The SEA periodically evaluates the effectiveness of recruitment efforts and revises procedures when necessary.

❑ Other:_____

5. **The SEA (on its own or through its LEAs) transfers pertinent educational and health records, where available, in the following way (**Section 1304(C)(1)(B)**):**

❑ Automatically forwards them to the student's next school (after the student withdraws or at the parent's request)

❑ Holds them until requested by the student's next school

❑ In-puts them into the following database:
   - ❑ Multi-state systems:
      - ❑ MIS 2000
      - ❑ New Generation System (NGS)
      - ❑ Other:_____
   - ❑ State migrant database (identify):_____
   - ❑ State database for all children (identify):_____
   - ❑ Other:_____

❑ Gives them to the student to hand carry

❑ Transfers them by FAX, phone, or mail

❑ Other:_____

❑ Records are NOT currently transferred because:_____

6. **The SEA works actively with LEA and operating-agency staff to ensure that migrant student records are transferred to (**Section 1304(C)(1)(B)**):**

❑ Other sites within this state

❑ Sites in other states

7. **The SEA ensures that migrant student records are available for use by teachers by:**

❑ Reviewing how accessible migrant student records are to teachers as part of regular onsite monitoring

❑ Determining whether teachers who work with migrant students are familiar with migrant student records and how to use them

❑ Including teachers in designing migrant student records (where applicable) and developing strategies for making records useful and readily available to teachers

❑ Other:_____

Note: On check-box questions, please check all that apply.

8. **How does the SEA advise its LEAs to request records for migrant students?**

❑ LEAs are encouraged to use the Department of Education's public school/district locator system to obtain contact information on the last school the migrant student attended so student records can be requested (web site: http://nces.ed.gov/ccdweb/school/index.asp).

❑ LEA personnel can directly access the state migrant database.

❑ LEAs are encouraged to develop relationships with LEAs in other states that serve the same migrant students.

❑ LEAs request cumulative records for migrant students records as they do for all students, particularly to verify credit accrual.

❑ Other:_____

9. **List the states from which significant numbers of migrant students identified in this state come.**

_____

10. **Has the SEA taken any steps within the last 12 months to improve the interstate transfer of migrant student records?**

❑ Yes. Describe:_____

❑ No

11. **The SEA promotes the continuity of instruction for migrant students by implementing the following strategies:**

❑ Semi-independent high school course-credit programs:
   ❑ the Portable Assisted Study Sequence (PASS) program
   ❑ the University of Texas at Austin Migrant Program
   ❑ Other:_____

❑ Distance learning:
   ❑ Telesecondaria (a distance learning program developed by Mexico)
   ❑ Project SMART,
   ❑ Star Schools,
   ❑ Other:_____

❑ Teacher exchange programs

❑ Mexican records transfer document

❑ Direct contact with other schools the student may attend

❑ Ensures that credits accrued are accepted by other schools that students attend

❑ Other:_____

❑ No special effort

12. How does the SEA coordinate instruction and assessment with school programs in other states?

❑ If the SEA has a mandatory competency test, it works with receiving states to ensure that they administer its state assessment (*e.g.*, satellite testing sites).

❑ If the SEA receives students from a state that has a mandatory competency test, it proactively works with the sending state to ensure that students are tested.

❑ If the SEA receives students, it works with sending states to ensure that the instruction provided is aligned with the sending states' academic standards.

❑ If the SEA is the home base for students, the SEA works with receiving states to help them develop instruction that is aligned with the sending state's academic standards.

❑ Other:_____

13. How does the SEA ensure that priority for MEP services is given to those migrant children whose education has been interrupted during the regular school year, and who are failing, or are most at risk of failing, to meet state standards? (Required by Section 1304(d))

❑ The SEA makes subgrants based on the service priorities described above.

❑ The migrant education needs assessment identifies the students who have a priority for service.

❑ Teachers and other staff are instructed to serve students according to the service priorities.

❑ As part of on-site monitoring, the SEA determines whether local projects are providing services according to the service priorities.

❑ Other:_____

14. What procedures does the SEA use to examine the effectiveness of services and to decide whether to continue or refine the services based on these determinations of effectiveness? (Section 1304(d))

❑ The SEA reviews disaggregated state assessment data to determine the effectiveness of services to migrant children.

❑ The SEA reviews project level data (*e.g.*, local assessment data, parent surveys, student surveys).

❑ Other:_____

15. How do SEA program improvement efforts authorized under ESEA, §1003, assist schools in improving services to migrant children?

❑ Program improvement activities assist schools in improving services to migrant children.

❑ School support teams provide information and assistance to schools that are in need of improvement on increasing opportunities for students—including migrant students—to meet the state's student performance standards.

❑ Distinguished educators selected within the past 12 months have come from schools that have demonstrated success in working with migrant students.

❑ The SEA provides professional development opportunities to school support teams, distinguished schools and distinguished educators to increase their effectiveness in working with migrant students.

❑ Other:_____

❑ The SEA has not involved the migrant education program in program-improvement efforts.

Note: On check-box questions, please check all that apply.

16. How are funds from the general administration set-aside and/or MEP-specific funds retained at the SEA level used to support the salaries of the MEP director and state MEP staff (as provided under Sections 1603 or 14201 of the ESEA and Section 200.41 of the regulations)? Complete the following table.

SEA Staff Member Title of Position	A. Percentage of time devoted to migrant program.	B. Percentage of salary and expenses paid with general administration set-aside[15]	C. Percentage of salary and expenses paid with program specific funds
	%	%	%
	%	%	%
	%	%	%
	%	%	%
	%	%	%
	%	%	%
	%	%	%
	%	%	%

(Funds consolidated under Section 1603 or 14201 that are not migrant education program funds are available to pay for the general administration of all Title I programs at the SEA level, including the migrant education program. MEP-specific funds can be used at the SEA level for administrative activities that are unique to the MEP as provided in Section 200.41 of the regulations.)

17. What types of MEP state staff activities are supported by the general administrative funds?

❑ General administration and oversight of local activities

❑ Reviewing applications

❑ Developing standards and assessments

❑ Providing technical assistance on general Title I requirements

❑ Not applicable

❑ Other:_____

18. What types of MEP state staff activities are supported by the MEP-specific funds?

❑ Statewide identification and recruitment of migratory children

❑ Interstate and intrastate coordination of the state MEP and its local projects with other relevant programs and local projects

❑ Providing for educational continuity for migratory children through the timely transfer of educational and health records beyond that required generally by state and local agencies

❑ Collecting and using information for accurate distribution of subgrant funds

❑ Development and implementation of a statewide plan for needs assessment and service delivery

❑ Supervision of instructional and support staff

❑ Not applicable

❑ Other:_____

---

[15] For each staff person, the sum of Column B and column C must not exceed Column A.

19. How does the SEA allocate MEP funds to its local operating agencies? (Section 1304(b)(5))

❏ The SEA considers the number of students to be served by a local operating agency when making allocations.

❏ The SEA's process for making allocations to local operating agencies considers the availability of other federal, state and local resources to meet these needs.

❏ The needs of migrant children are considered within the allocation process. The SEA pays particular attention to whether the allocation process gives specific consideration to the educational and support services needs of migrant children and the statutory priority to first serve migrant children who have moved during the school year and are failing or at risk of failing to achieve to high state standards.

❏ The SEA's process for making allocations does not include a provision to protect operating agencies from significant year-to-year swings in funding (*i.e.*, a "hold-harmless" provision).

Other Migrant Education Topics That May Be Discussed During the On-Site Review

The following will be reviewed onsite:
1. The SEA's I&R plan will be reviewed for comprehensiveness of coverage across the State and whether there are local impediments to conducting identification and recruitment activities.
2. The State's process for ensuring the quality of interviewers' eligibility decisions beyond just reviewing documentation for face validity.
3. A random sample of completed COEs. Reviewers will also confirm that the SEA annually verifies that each child who has been determined to be eligible based on a prior year's COE (*e.g.*, the child is still within the 36 month eligibility period), has resided in the State for at least one day during the childcount period. A review of the training schedule, training materials, and all processes described under this section will also be conducted.
4. The records transfer process including the timeliness of the transfer of student records.
5. The procedures the SEA uses to examine the effectiveness of services and to decide whether to continue or refine the services based on these determinations of effectiveness.
6. The SEA's subgranting procedures.

The following topics are covered on the pages identified:
1. Standards, Assessment and Accountability (ESEA §1304(b)(2) & §1306(a)(1)(C))   Page 5
2. Needs Assessment (ESEA § 1304(b)(1))   Page 17
3. Professional Development (ESEA § 1304(c)(6)(B))   Page 21
4. Parent and Community Involvement (ESEA § 1304(c)(3))   Page 27
5. Schoolwide Programs (ESEA § 1304(c)(2) & 1306(b)(1)(A)   Page 37

Note: On check-box questions, please check all that apply.

E. ESEA Title I, Part D—Neglected, Delinquent or at Risk of Dropping Out

Subpart 1: State Operated Programs for Children and Youth Who Are Neglected or Delinquent

1. What eligible state-agency subgrantees have had their plans approved by the SEA to conduct programs for neglected and delinquent children?

❑ Specify:_____

❑ Specify:_____

❑ Specify:_____

2. Which state-agency subgrantees submitted written evaluation reports disaggregating data, when was their most recent report, and by what categories did they disaggregate?

Name of Agency	Date of Most Recent Report mm/dd/yy	Categories of disaggregation (*e.g.* sex, race, ethnicity, age)

❑ None

3. What technical assistance has the SEA provided to state agency subgrantees concerning the planning and implementation of institution-wide projects (in accordance with ESEA § 1416)?

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 9-E-3.

4. How has the SEA determined that all participating state-agency subgrantees have retained the required transitions services financial reserves and provided the related transitional educational services for neglected or delinquent children and youth?

❑ Response up to 3 lines in length is entered below.

_____

_____

_____

❑ A longer narrative response is attached. Identify this attachment as 9-E-4.

5. The SEA could use assistance in implementing this program.

❑ Yes

❑ No

Subpart 2: Local Agency Programs for Youth Residing in Locally-Operated Correctional Facilities

6. **How does the SEA award funds to LEAs that have high numbers or percentages of youth who reside in locally or county-operated correctional facilities, including facilities with day programs?**

   ❑ Response up to 3 lines in length is entered below.

   ❑ A longer narrative response is attached. Identify this attachment as 9-E-6.

7. **What procedures has the SEA established for evaluating LEA-based projects to determine whether they have made progress in reducing dropout rates over a three-year period?**

   ❑ The SEA's written procedures are attached. Identify this attachment as 9-E-7.

   ❑ The SEA does not have written procedures, but the practice is as follows:

   ❑ The SEA has no established procedures.

8. **What procedures has the SEA established for determining whether juvenile facilities receiving assistance for three years have demonstrated an increase in the number of youth returning to school, obtaining a secondary school diploma or GED, or obtaining employment after release.**

   ❑ The SEA's written procedures are attached. Identify this attachment as 9-E-8.

   ❑ The SEA does not have written procedures, but the practice is as follows:

   ❑ The SEA has no established procedures.

9. **How has the SEA provided technical assistance to its participating local educational agencies concerning the required evaluation and ways to use the results of the evaluation to plan and improve subsequent programs for participating children and youth?**

   ❑ Response up to 3 lines in length is entered below.

   ❑ A longer narrative response is attached. Identify this attachment as 9-E-9.

10. **The SEA could use assistance in implementing this program.**

    ❑ Yes

    ❑ No

Note: On check-box questions, please check all that apply.

F. ESEA Section 1502—Comprehensive School Reform Demonstration Program (CSRD)

1.   What is the status of the state's CSRD subgrants?

❑ All subgrants have been made with existing funds.

❑ The SEA is planning to conduct future rounds of competition with remaining funds at the following time:_____.

❑ The SEA is planning to conduct future rounds of competition, but has not determined a timeframe.

❑ Information on all awards to date has been submitted to the Southwest Educational Development Laboratory.

2.   How is the SEA using its CSRD administrative funds, if they are not consolidated?

❑ To pay for SEA staff, supplies, *etc*., to administer CSRD

❑ To provide technical assistance to CSRD schools and districts

❑ To conduct evaluation of CSRD implementation and student results achieved

❑ To coordinate CSRD with other federal and non-federal programs

❑ To establish and operate peer reviews

❑ To disseminate information about comprehensive school reform

❑ To conduct site visits to CSRD schools and districts

❑ To organize conferences, meetings, and networking opportunities (including listserves and use of technology)

❑ Other:_____

❑ The CSRD administrative funds are consolidated.

3.   How is the SEA making continuation awards?

❑ Criteria for awarding continuation funding are under development.

❑ Criteria for awarding continuation funding have been developed and distributed to all CSRD schools and districts.

❑ SEA team site visits are being conducted to determine whether a school has made reasonable and substantial progress before continuation funds are awarded.

❑ The SEA is reviewing progress reports completed and submitted by the CSRD districts and schools before awarding continuation funds.

4.   How does the SEA determine the grant period for awards under CSRD?

❑ Response up to 3 lines in length is entered below:

_____

_____

_____

5.   How does the SEA track the progress of CSRD schools and districts?

❑ SEA teams conduct site visits.

❑ A liaison from the SEA or regional technical assistance provider is assigned to each CSRD school and district.

❑ SEA staff reviews the progress of CSRD schools towards measurable goals and benchmarks described in the original application, either in person or by self-reporting.

❑ SEA staff monitors and reviews budgets submitted by CSRD schools and districts.

❑ SEA staff maintains regular contact with CSRD schools and districts by phone, e-mail, or other means.

❑ SEA staff maintains regular contact with service providers that assist CSRD schools and districts, including regional technical assistance providers and model developers.

❑ SEA staff convenes CSRD schools and districts for regular networking meetings.

❑ SEA staff receives information on individual CSRD schools and districts through a formative evaluation of CSRD.

❑ Other:_____

❑ The SEA could use assistance in this area.

6. **How does the SEA respond to school needs identified through the SEA's monitoring of progress in CSRD schools and districts?**

❑ SEA sends a team or technical assistance provider to provide on-site assistance.

❑ SEA contacts the model developer assisting a particular school or district.

❑ SEA works with the Regional Education Laboratory, Comprehensive Assistance Center, or other technical assistance provider to develop a plan for technical assistance for a specific school or district or for a common area of need among schools.

❑ SEA organizes conferences, meetings, and teleconferences to address areas of need identified among CSRD schools and districts.

❑ SEA disseminates information, such as publications, research, or Web site resources, on areas of need identified among CSRD schools and districts.

❑ SEA helps a school or district network with another school or district that has successfully faced similar challenges to implementation.

❑ Other:_____

❑ The SEA could use assistance in this area.

7. **How is the SEA working with CSRD schools and districts to sustain the comprehensive reform effort after CSRD funding ends?**

❑ The SEA is working with schools to help them allocate resources to sustain the reform.

❑ The SEA is working with districts to identify and remove barriers to reallocating resources at the district level.

❑ The SEA is helping to develop strong instructional leadership at the school and district level to support and sustain comprehensive reform.

❑ The SEA is working in partnership with the Regional Educational Laboratory, Comprehensive Center, and other regional technical assistance providers to aid districts and schools in this area.

❑ Other:_____

❑ The SEA could use assistance in this area.

8. **What progress has been made in carrying out the SEA's evaluation plan?**

❑ The SEA is providing assistance to schools and districts on local evaluations.

❑ The SEA is requiring CSRD schools and districts to submit information from their local evaluation on at least an annual basis.

❑ The SEA (or its contractor) is conducting formative evaluation of CSRD schools and districts.

❑ The SEA (or its contractor) is conducting summative evaluation of CSRD schools and districts.

❑ The summative evaluation is using student performance results on the state assessment.

❑ Evaluation data and findings have been used by the SEA to determine technical assistance for CSRD schools and districts.

Note: On check-box questions, please check all that apply.

❑ Evaluation data and findings have been used by the SEA to inform decisions on state-level policy and technical assistance to low-performing schools generally.

❑ The SEA could use assistance in this area.

Other CSRD Topics That May Be Discussed During the On-Site Review

1. Needs assessment:
   a. What did the state learn about school needs assessments from winning CSRD applications that allows it to help schools in comprehensive school reform efforts?
   b. How is the state using needs assessments from CSRD sites to plan its technical assistance activities and its evaluation designs for CSRD?

2. Connections with other reform initiatives:
   a. How is CSRD connected with other standards-based reform initiatives in the state?
   b. Which state offices are involved and in what ways in the implementation and support of CSRD?

3. With regard to external models, what has the SEA learned about district and school needs in relation to:
   a. integrating an external model into a comprehensive school reform plan?
   b. aligning a school's external model & comprehensive school reform plan with state (district) standards and assessment system?
   c. providing timely technical assistance from state, district, or model developer providers?

4. With regard to locally developed models, what has the SEA learned about district and school needs in relation to:
   a. integrating a locally developed model into a comprehensive school reform plan?
   b. aligning a school's external model & comprehensive school reform plan with state (district) standards and assessment system?
   c. providing timely technical assistance from state, district, or model developer providers?

5. Technical Assistance:
   a. What kinds of technical assistance have the SEA provided to CSRD sites?
   b. What uses has the SEA made of other technical assistance providers in implementing CSRD activities at school sites?
   c. What recommendations would the SEA have for the design of TA activities at the state, district, and school level based on early CSRD implementation activities?
   d. What TA problems or issues have arisen in CSRD implementation that the SEA would like further assistance on from ED?

6. Resource Allocation:
   a. How has the SEA assisted LEAs and schools reallocate CSRD site budgets so that all school-building funds are blended to serve all children in that school in those schools that operate under the schoolwide provision?
   b. If state policies regarding resource reallocation at the school building level need to be modified, what modifications are considered necessary? What plan does the SEA have to effect these modifications?

7. Monitoring-Evaluation:
   a. How is the state monitoring or tracking the implementation of CSRD in local school sites? What use is being made of site visits and school benchmarks?
   b. How is the state using early implementation results to assist schools and districts overcome impediments to the effective start up of their comprehensive reform plan and any adopted models?
   c. How is the state using early implementation results to assist other CSRD sites as they initiate their reforms?
   d. How is the state planning to use CSRD implementation data to assist non-CSRD sites interested in beginning the comprehensive school reform process?
   e. Are there any monitoring and feedback issues that have arisen that the SEA would like ED assistance to resolve?

G. ESEA Title II—Eisenhower Professional Development

1. How does the SEA ensure that LEA professional development plans reflect the needs of the LEA and its schools including ways in which the SEA has assisted LEAs and schools in designing needs assessments that are tied to achieving high standards?

❏ Response up to 3 lines in length is entered below.

_____

_____

_____

❏ A longer narrative response is attached. Identify this attachment as 9-G-1.

❏ The SEA could use assistance in this area.

2. As part of the state's Eisenhower performance indicator system, how does the SEA ensure that LEAs have adopted and are implementing their performance indicators?

❏ Response up to 3 lines in length is entered below.

_____

_____

_____

❏ A longer narrative response is attached. Identify this attachment as 9-G-2.

❏ The SEA could use assistance in this area.

3. How do the performance indicators affect program planning?

❏ Funding of state-level funds activities

❏ Request for Proposals (RFP) for Institutions of Higher Education (IHEs)

❏ RFP for non-profit organizations (NPOs)

4. Describe the SEA's experience with LEAs that have allocations less than $10,000.

(a) **How many LEAs have allocations less than $10,000?** _____

(b) **How many LEAs (with allocations less than $10,000) have requested a waiver of the consortium requirement?** _____

(c) **How many LEAs (with allocations less than $10,000) now receive individual Title II subgrants a result of approved waivers?** _____

5. What evidence does the SEA require from LEAs to ensure that they are offering equitable access to service for teachers of private schools?

❏ Documentation that statutory requirements are being implemented

❏ Participation information for all schools

❏ Other:_____

❏ The SEA could use assistance in this area.

Note: On check-box questions, please check all that apply.

6. **How does the SEA monitor for LEA fiscal responsibility?**

    ❏ The SEA has a written policy for the process of distributing funds to LEAs.

    ❏ The SEA is currently developing a written policy for distributing funds to LEAs.

    ❏ The SEA maintains records of how each LEA meets the cost-sharing requirement.

    ❏ The SEA is currently developing a record system identifying how each LEA meets the cost-sharing requirement.

    ❏ Other: _____

7. **What outreach does the SAHE apply to obtain a diverse pool of applicants?**

    ❏ Response up to 3 lines in length is entered below.

    ❏ A longer narrative response is attached. Identify this attachment as 9-G-7.

    ❏ The SEA could use assistance in this area.

8. **How do the SEA and the SAHE work collegially to improve teacher performance and student learning?**

    ❏ Response up to 3 lines in length is entered below.

    ❏ A longer narrative response is attached. Identify this attachment as 9-G-8.

    ❏ The SEA could use assistance in this area.

H. ESEA Title III, Part A, Subpart 2—Technology Literacy Challenge Fund (TLCF)

NOTE: Questions 1-13 in Section H should be answered once for each competition conducted for each fiscal year of funding since the last State Self-Review. The SEA should duplicate pages 74-76 once for each competition conducted.

1. Provide identifying information for this TLCF state competition:
Federal Fiscal Year: _____
Grant Type (state designation): _____

2. If the state's definition of "LEAs with the highest numbers or percentages of children in poverty" has changed since reported in the last performance report, enter definition below:

❏ The State's definition for this has not changed.

3. How many LEAs are "highest poverty" under the state's definition? _____

4. If the state's definition of "LEAs with the greatest need for technology" has changed since reported in the state's last performance report, enter the definition below:

❏ The state's definition for this has not changed.

5. How many LEAs have "greatest need for technology" under the state's definition? _____

6. How many LEAs are both "highest poverty" *and* "the greatest need for technology"? _____

7. **Which LEAs were eligible to apply for funding?**

    ❑ All are eligible to apply

    ❑ Only those LEAs not already receiving funds

    ❑ Only those LEAs that have the highest numbers or percentages of children in poverty

    ❑ Only those LEAs that demonstrate the greatest need for technology

    ❑ Those LEAs that have both the highest numbers and percentages of children in poverty and that demonstrate the greatest need for technology

    ❑ Only LEAs in consortia

    ❑ Other:_____

    ❑ The SEA could use assistance in this area.

8. **What other limitations were placed on the competition?**

    ❑ grade level—Explain_____

    ❑ geographic area—Explain_____

    ❑ Other:_____

9. **How does the SEA target LEAs with the highest numbers or percentages of children in poverty and/or demonstrating the greatest need for technology?**

    ❑ Through providing extra points in the competition

    ❑ By limiting eligibility to LEAs with the highest poverty and/or need for educational technology

    ❑ By providing additional funds to LEAs with the highest poverty and/or the greatest need for educational technology

    ❑ Other:_____

10. **Does the SEA limit the amount that an LEA may apply for under the TLCF?**

    ❑ No, applicants may apply for any sum.

    ❑ Yes, the maximum an LEA may apply for is _____.

    ❑ Yes, the maximum a consortium may apply for is _____.

    ❑ Other:_____

11. **Identify, by type, technical assistance (TA) provided by the SEA to LEAs.**

Technical assistance (TA) provided with:	Total number of LEAs receiving TA	Number of LEAs with the highest numbers or percentages of children in poverty receiving targeted TA	Number of LEAs demonstrating the greatest need for technology receiving targeted TA	Number of LEAs with the highest numbers or percentages of children in poverty and demonstrating the greatest need for technology receiving TA
Application				
TechnologyPlan				

12. Provide the numbers of LEAs applying and funded by category of priority.

	Number of applications	Number of funded applications[16]	Total amount of funding awarded[11]
To LEAs/consortia with highest numbers or percentages of children in poverty			
To LEAs/consortia with greatest need for technology			
To LEAs/consortia with highest numbers or percentages of children in poverty and demonstrating the greatest need for technology			
To LEAs/consortia with neither high numbers or percentages of children in poverty nor great need for technology			
TOTAL			

13. How does the state ensure that funded LEAs have technology plans that meet Section 3135?

❏ LEA technology plans are submitted and reviewed along with TLCF applications.

❏ LEA technology plans are reviewed a part of the SEA's routine monitoring.

❏ LEA technology plans are reviewed once every _____ years.

❏ After initial approval, LEA technology plans are not reviewed.

❏ LEA technology plans are reviewed against § 3135 as part of the SEA review of e-rate applications.

❏ Other:_____

Other TLCF Topics That May Be Discussed During the On-Site Review

Relationship of state technology goals and state learning goals

Updates of state technology plan

State progress on state technology goals

State progress on financing state technology plan

Quality review and update of local technology plans

Size, scope and quality of subgrant awards

Changes in the subgrant competition

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[16] This information may be completed using data reported by the U.S. Department of Education from state performance reports.

Note: On check-box questions, please check all that apply.

I. ESEA Title IV--Safe and Drug-Free Schools and Communities Act (SDFSCA)--SEA Program

IMPLEMENTATION OF THE SDFSCA PRINCIPLES OF EFFECTIVENESS

1. **What data sources does the SEA use to collect information for its statewide needs assessment?**

    ❑ Youth Risk Behavior Survey (YRBS)

    ❑ Statewide SDFSCA assessment instrument developed by the SEA

    ❑ Statistical data/reports available from other related state agencies, *i.e.*, law enforcement, social services, health, *etc.*

    ❑ School reports submitted by LEAs, *i.e.*, truancy, school attendance records, etc.

    ❑ Other:_____

    ❑ The State could use assistance in this area.

2. **To what extent does the SEA collect information about the nature and extent of youth drug use and violence in schools?**

    ❑ The SEA collects information that produces state-level data only.

    ❑ The SEA collects information that produces both state- and local-level data.

    ❑ The SEA requires LEAs to collect information to submit to the SEA.

    ❑ Other:_____

    ❑ The State could use assistance in this area.

3. **How does the SEA use the information it collects?**

    ❑ To develop goals and objectives that would appropriately target funds and meet the needs identified

    ❑ To establish statewide priorities for targeting the use of SDFSCA funds (and/or other funding sources)

    ❑ To inform the public of the condition of the state related to problems of drugs and violence in and around schools

    ❑ To assess progress toward meeting the goals and objectives established by the SEA in its SDFSCA application

    ❑ To assess overall progress toward preventing drug use and youth violence in the state

    ❑ Other:_____

    ❑ The State could use assistance in this area.

4. **The goals and objectives established by the SEA:**

    ❑ Primarily measure the extent to which the SEA is effectively administering the SDFSCA program.

    ❑ Primarily measure the performance outcomes of the programs implemented at the state level.

    ❑ Focus on both programmatic and administrative performance measures.

    ❑ Are linked to the performance of LEAs in the state.

    ❑ Other:_____

    ❑ The State could use assistance in this area.

5. **What strategies does the SEA have for ensuring the effective implementation of the Principles of Effectiveness at the local level?**

    ❏ Tests for the alignment of needs, goals, and programs through the LEA application review process

    ❏ Examines applications to ensure that activities meet the requirements of the Principles, particularly with regard to research-based programming and evaluation]

    ❏ Conducts technical assistance workshops

    ❏ Monitors programs through onsite visits

    ❏ Utilizes peer reviewers as part of application review process

    ❏ Reviews performance reports

    ❏ Contacts LEAs by phone to inform them about the requirements contain in the Principles

    ❏ Other:_____

    ❏ The State could use assistance in this area.

6. **How does the SEA determine technical assistance needs for LEAs in this area?**

    ❏ Assesses LEA applications to determine how information submitted relates to the Principles

    ❏ Analyzes information gathered through onsite program reviews

    ❏ Collects information/requests via telephone calls and/or correspondence

    ❏ Other:_____

7. **What methods are used to determine if LEA programs are effective?**

    ❏ The SEA monitors LEAs and visits implemented programs.

    ❏ The LEA submits evaluation data that is compiled at the state level.

    ❏ The SEA conducts an independent evaluation of local programs.

    ❏ Other:_____

    ❏ The State could use assistance in this area.

8. **How does the SEA use the evaluation information it receives?**

    ❏ Information is published and disseminated to the public.

    ❏ Information is used to better target the use of SDFSCA funds.

    ❏ Information is used to inform policy decisions that impact statewide initiatives.

    ❏ Information is used to revise or modify program goals and objectives.

    ❏ Information is used to enhance programs being implemented.

    ❏ Other:_____

    ❏ The State could use assistance in this area.

<div align="center">DETERMINING AND ALLOCATING FUNDS TO GREATEST NEED LEAS</div>

9. **The selection criteria the SEA used to identify greatest need LEAs was based on:**

    ❏ Objective data selected from state-level data collections that can be disaggregated to LEA level

    ❏ Objective data provided by school and/or community resources (*i.e.*, free or reduced-price lunch program; rates of alcohol or drug use among youth; rates of arrests and convictions of youth for violent or drug-or alcohol-related crime; rates of absenteeism/dropouts in school; *etc.*)

    ❏ Other:_____

❑ The State could use assistance in this area.

10. What process does the SEA use to select greatest need LEAs?

❑ The SEA identifies the LEAs based on information provided by the state. Top ranking LEAs are selected and funded.

❑ The SEA identifies the LEAs based on information provided by the state. Top ranking LEAs are identified and required to submit applications with additional supporting information on how funds will be used, as a condition of award.

❑ The SEA requires all LEAs to address the selection criteria in their applications for the (70%) SDFSCA funds. Based on the information provided by the LEA, applications are scored and LEAs ranked and selected based on the order.

❑ Other:_____

❑ The State could use assistance in this area.

11. How often does the SEA make determinations in this area?

❑ LEAs with greatest need are determined annually, along with each grant cycle.

❑ LEAs with greatest need are determined every three years when applications are renewed.

❑ LEAs with greatest need are determined once and funded on a continuation basis.

❑ LEAs with greatest need are determined based on the availability of new data.

❑ Other:_____

12. How does the SEA allocate funds to the greatest need LEA?

❑ Funds are allocated based on the relative enrollment of children in both public and private schools (on the same basis as the 70% allocations to LEAs).

❑ Funds are allocated based on a formula based on other data *(specify formula)_____*.

❑ Funds are allocated on a competitive basis.

❑ Other:_____

13. What steps does the SEA take to ensure that the LEAs selected as having greatest need are appropriately identified?

❑ The SEA compares the data submitted by LEAs with similar state-level data to ensure consistency.

❑ The SEA does not question the data results once greatest need LEAs are selected.

❑ The SEA takes the following measures (specify):_____.

❑ A longer narrative response is attached. Identify this attachment as 9-I-13.

❑ The state could use assistance in this area.

LEA APPLICATIONS
(Section 4115 of the SDFSCA)

14. What review procedures does the SEA use to approve LEA applications?

❑ LEA applications are reviewed and approved by the SEA administrative staff responsible for the SDFSCA program.

❑ A peer panel established by the SEA reviews LEA applications.

❑ LEAs applications are peer reviewed prior to submitting them to the SEA.

❑ The SEA/peer panel uses a checklist as part of the screening and review process.

❑ LEA applications are reviewed to determine the extent to which the information provided meets the SDFSCA Principles of Effectiveness (as listed on p. 81).

❑ LEA applications are reviewed to assess the extent to which programs being implemented address the needs identified through the comprehensive needs assessment and are linked to the goals and objectives established.

❑ LEA applications are reviewed to determine the extent to which proposed strategies and programs will impact the problems of drug use and violence among youth.

❑ Other:_____

15. For LEAs whose applications are not approved by the SEA, what procedures are in place to provide LEAs with an opportunity to appeal?

❑ The SEA has established an appeals process, as required by Section 4115(c)(2)(B), consistent with the requirements of Section 76.401 of the Education Department General Administrative Regulations (EDGAR).

❑ The SEA has not established an appeals process for SDFSCA applications that are disapproved.

CARRYOVER AND REALLOCATION OF FUNDS
(Section 4113(e) and (f) of the SDFSCA)

16. If an LEA does not apply for funds or if an application for funding is disapproved, how does the SEA redistribute those LEA funds?

❑ Funds are redistributed to one or more of the greatest need LEAs.

❑ Funds are redistributed to greatest need LEAs based on objective criteria.

❑ The SEA does not have a process for redistributing funds to greatest need LEAs.

❑ Other:_____

17. What procedures are established to approve LEA carryover of more than 25% of an LEA's original allocation amount?

❑ The SEA requires the LEA to submit written request to carryover more than 25% of the original allocation amount.

❑ The SEA reviews end-of-year expenditure reports to determine possible carryover automatically approves if funds exceed 25%.

❑ The SEA has no procedures in place to approve carryover.

❑ Other:_____

Other SDFSCA Topics That May Be Discussed During the On-Site Review

Organization and Structure
State Policies and Procedures
Audit Findings
Assessing Needs
Establishing Measurable Goals and Objectives
Distribution of 70%/30% Funds
Application Review and Approval Process
Statewide and Program coordination Activities
Program Quality and Effectiveness

Program Evaluation
Reporting and Records Retention
Fiscal Administration
Carryover and Reallocation of Funds
State-level Programming
General Uses of Funds
20%Cap for Security and Safe Zones of Passage
Use of 4% Set-Aside for Administration

Principles of Effectiveness for Safe and Drug Free School Programs

1. Grant recipients will base their programs on a thorough assessment of objective data about the drug and violence problems in the schools and communities served.

2. Grant recipients will, with the assistance of a local or regional advisory council, which includes community representative, establish a set of measurable goals and objectives, and design their activities to meet those goals and objectives.

3. Grant recipients will design and implement their activities based on research or evaluation that provides evidence that the strategies used prevent or reduce drug use, violence, or disruptive behavior.

4. Grant recipients will evaluate their programs periodically to assess their progress toward achieving their goals and objectives and use their evaluation results to refine, improve, and strengthen their program and to refine their goals and objectives as appropriate.

J. ESEA, Title XIV, Part F—Gun-Free Schools Act (GFSA)

1. How is the SEA ensuring compliance with the provisions of the GFSA?

❑ All LEAs have filed the required assurances (compliance with expulsion and referral to criminal justice requirements).

❑ The SEA or LEA provides for alternative education to students expelled under the GFSA.

❑ The SEA is having difficulty obtaining assurances from some LEAs. *(Please specify nature of the problem.)*_____

❑ LEAs are submitting required reports to the LEAs.

❑ GFSA requirements are part of SEA monitoring efforts.

❑ The SEA reviews data submitted by LEAs to determine if state law is being consistently enforced.

❑ The SEA reviews modified expulsions by LEAs to ensure that one-year expulsion requirements are consistently enforced and shortened expulsions are used in response to the requirements of the Individuals with Disabilities Education Act (IDEA).

❑ A longer narrative response is attached. Identify this attachment as 9-J-1.

Other Gun-Free-Schools Topics That May Be Discussed During the On-Site Review

Any requirements of the Gun-Free Schools Act

K. Goals 2000 Educate America, Title X, Part C—Pro-Children's Act (PCA)

1. How is the SEA enforcing the provisions of the PCA?

❑ The SEA monitors LEAs to ensure compliance.

❑ The SEA has state laws or regulations about smoking tobacco products on school property or in school buildings that are consistent with the provisions of the PCA.

❑ The SEA has established a process to assess enforcement of the PCA across LEAs.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 9-K-1.

❑ The SEA would like assistance in this area.

Other Pro-Children's Act Topics That May Be Discussed During the On-Site Review

Any requirements of the Pro-Children's Act

L. ESEA Title VI—Innovative Education Strategies Program

STATE PROGRAMS
(Section 6201)

1. How does the SEA use funds that are made available for state use?

❑ Administration of programs

❑ Technical assistance which assists local educational agencies (LEAs) in providing targeted assistance

❑ Direct grants to assist LEAs to provide targeted assistance

❑ Statewide education reform activities which assist LEAs to provide targeted assistance

❑ Support for planning, designing and initial implementation of Charter Schools

2. How does the SEA use the funds reserved for administration?

❑ The SEA consolidates its Title VI administrative funds.

❑ Supervision of the allocation of funds to LEAs

❑ Planning, supervision, and processing of state funds

❑ Monitoring

❑ Evaluation of programs and activities

❑ Other:_____

LOCAL APPLICATIONS
(Section 6303)

3. Do LEAs submit a single or consolidated application to the SEA for Title VI funds?

❑ Single

❑ Consolidated

❑ Some submit single application; some submit consolidated application.

4. What do LEAs include in their applications for the SEA to certify before funds can be received?

❑ Planned allocation of funds among the innovative assistance programs

❑ Description of the programs, projects, and activities designed to carry out innovative assistance

❑ Reasons for the selection of the programs, projects and activities

❑ The allocation of funds required to provide equitable participation of children enrolled in private schools.

❑ Assurances of compliance with the provisions of the program, including participation of children enrolled in private schools

❑ An agreement to keep records and provide information to the SEA for audit and evaluation purposes

❑ A description of how assistance will contribute to meeting the National Education Goals and improving student achievement or improving the quality of education for students

❑ Provision for systematic consultation with parents, teachers, administrative personnel and other groups in the design, planning and implementation of programs

❑ Other:_____

Note: On check-box questions, please check all that apply.

5. **What strategies do LEAs use to ensure that they maintain meaningful systematic consultation with parents?**

   ❑ Conduct parent workshops

   ❑ Designate LEA parent coordinators

   ❑ Issue monthly newsletters

   ❑ Provide reasonable access to meeting space and materials

   ❑ Other:_____

ALLOCATION TO LOCAL EDUCATIONAL AGENCIES
(Section 6102)

6. **Has the funding formula for distribution of funds to LEAs been revised since it was last approved by ED?**

   ❑ No

   ❑ Yes (Please see document request list)

7. **What factors are included in the calculation of enrollments?**

   ❑ Total number of children enrolled in public schools

   ❑ Total number of children enrolled in private non-profit schools desiring that their children participate

PARTICIPATION OF CHILDREN ENROLLED IN PRIVATE SCHOOLS
(Section 6402)

8. **What process do LEAs use to ensure equitable services to children enrolled in private nonprofit schools?**

   ❑ Contact the private schools within the LEA annually to determine which schools wish to participate

   ❑ Consult with private school officials regarding the types of services each school desires its students to receive

   ❑ Provide services to the private schools on an equitable basis whether or not the services desired are the same services the LEA provides to the public school children

   ❑ Determine that the expenditures for services for private school children are equal to the expenditure for services provided to public school children, taking into account the needs of the children and other factors

   ❑ Approve services to private schools that primarily benefit the children, not the schools

   ❑ Maintain title to property and control of funds in the public agency

   ❑ Other:_____

REPORTING REQUIREMENT
(Section 6202)

9. Has the SEA fulfilled the requirement to submit information for the *Consolidated State Performance Report* covering the use of funds by the SEA and its LEAs, the types of services provided, and the children served?

❏ Yes

❏ No

10. Has the SEA fulfilled the requirement to conduct a formal evaluation that assesses the effectiveness of Title VI programs?

❏ Yes

❏ No

Other Title VI Topics That May Be Discussed During the On-Site Review

Carryover and reallocation of funds
Audit findings
Title VI Guidance (clarity, usefulness, suggestions)
General uses of Title VI funds
Documentation that supports the following provisions of the state's application for funds:

- Provision for obtaining data for the *Consolidated State Performance Report* on the uses of funds, types of services provided, and the children served
- Provision for an evaluation of the effectiveness of programs
- Assurance that the SEA will keep records and provide information as may be required for fiscal audit and program evaluation
- Provision for timely public notice and public dissemination of *the Consolidated State Performance Report* information
- An allocation of funds required to provide equitable participation of children enrolled in private schools
- Assurances that there is compliance with the specific requirements of the program (supplement, not supplant; maintenance of effort)
- An assurance that the SEA has not exercised, and will not exercise, any influence in the LEA decision making process regarding how to expend program funds

Note: On check-box questions, please check all that apply.

M. 1999 Appropriations Act, §307—Class-Size Reduction (CSR)

1. What information does the SEA require LEAs to include in their CSR application?

❏ A description of how the LEA measures class size for each grade level (average or maximum)

❏ The current class sizes in grades one through three

❏ The LEA's long-term plan or strategy for reducing class size in grades one through three

❏ How class size will change as a result of CSR funds

❏ The dollar amount that will be spent on teacher salaries

❏ The dollar amount that will be spent on recruitment and training costs for new teachers in grades one through three

❏ The dollar amount that will be spent on recruiting, testing and training for all new teachers hired with CSR funds

❏ The dollar amount that will be spent on providing professional development activities for new and current teachers

❏ The dollar amount that will be spent on administrative expenses at the LEA level

❏ The number of teachers the LEA plans to hire with CSR funds. Within this group*:*
  - ❏ The grades in which these teachers will be placed
  - ❏ How many of these teachers will be regular classroom teachers
  - ❏ How many of the new teachers will be special education teachers
  - ❏ How many of the teachers will be part time
  - ❏ How many of the teachers will be full time

❏ A copy of the LEA's plan to produce an annual report that the LEA will issue on student achievement and class-size reduction

2. Does the state make awards to any LEAs that are less than the starting salary for a new teacher in the LEA?

❏ No, all allocation amounts are over the starting salary of a new teacher.

❏ Yes, when an LEA forms a consortium with at least one other district for the purpose of reducing class size, it may be allocated an amount that is less than the starting salary for a new teacher.

❏ Yes, the state is in receipt of a waiver of the consortium requirement and can therefore make allocations that are less than the starting salary for a new teacher without an LEA agreeing to form a consortium.

3. What other school-reform programs does the state encourage LEAs to link with CSR?

❏ Schoolwide programs under ESEA §1114

❏ Reading improvement strategies

❏ Comprehensive School Reform Demonstration Program

❏ State reform efforts

❏ Local reform efforts

❏ Other:_____

❏ The SEA could use assistance in this area.

4. **With what other federal, state, and local programs did the state encourage alignment of CSR professional development activities?**

   ❑ Title II Eisenhower Professional Development Program

   ❑ Higher Education Act, Title II, Programs

   ❑ Other federal programs:_____

   ❑ State professional development programs

   ❑ Local professional development programs

   ❑ The SEA could use assistance in this area.

5. **What criteria did LEAs use to target CSR funds to their neediest schools?**

   ❑ Achievement data—lowest achieving schools are targeted first

   ❑ Class size data—schools with largest class size are targeted first

   ❑ Enrollment data—schools with highest enrollment are targeted first

   ❑ Grade—one grade was prioritized for reducing class sizes

   ❑ Poverty Data—poorest schools are targeted first.

   ❑ LEAs did not target; CSR funds were equally distributed across schools

   ❑ Other:_____

6. **What strategies do LEAs use to target CSR funds to individual grades?**

   ❑ Start with earliest grade, then reduce class size in other grades in sequential fashion

   ❑ Start with largest class size regardless of grade

   ❑ Other:_____

7. **What processes do the LEAs providing professional development under this program use to ensure equitable participation of private nonprofit elementary and secondary schools?**

   ❑ Contact the private schools within the LEA annually to determine which schools would like to participate and what type of training is needed or desired

   ❑ Contact the private schools within the LEA as each professional development opportunity arises

   ❑ Other:_____

   ❑ The SEA leaves the strategies to the discretion of the LEA.

8. **What strategies do LEAs use in creating and distributing their annual report card?**

   ❑ Combine annual report with other reports in a consolidated reporting package that is sent to parents, the general public, and the state.

   ❑ Multiple dissemination techniques; for instance, publication in a newspaper or newsletter sent to every student's parents, posting in schools, on web pages, etc.

Other CSR Topics That May Be Discussed During the On-Site Review

- Changes in:
  - ➢ Student achievement results
  - ➢ Teacher practices in classrooms
  - ➢ Student discipline issues
  - ➢ Parental/community involvement
- Carryover and reallocation of funds

- Reactions from students, teachers, administrators, parents and community to smaller class sizes
- Alignment of federal Class-Size Reduction Program with state and local class-size reduction programs (if state and local efforts are being planned or are already in place)

Note: On check-box questions, please check all that apply.

N. Reserved.

O. McKinney Act—Education for Homeless Children and Youth

1. **What procedures has the SEA established to ensure that all-homeless children and youth in the state are able to enroll in school?**

    ❑ Prompt resolution of disputes regarding the educational placement of homeless children and youth

    ❑ Programs for school personnel (including principals), to heighten the awareness of such personnel of the specific needs of runaway and homeless youth

    ❑ Procedures that ensure that homeless children and youth who meet the eligibility criteria are able to participate in federal, state, or local food programs

    ❑ Procedures that ensure homeless children have equal access to the same public preschool programs

    ❑ Procedures to ensure that homeless children and youth are eligible to participate in federal, state, or local before- and after-school programs

    ❑ Procedures to address problems with respect to the education of homeless children and youth including problems caused by transportation, enrollment delays that are caused by immunization, residency, lack of birth certificates, school records or other documents or guardianship issues

    ❑ Other:_____

    ❑ A longer narrative response is attached. Identify this attachment as 9-O-1.

    ❑ The SEA could use assistance in this area

2. **Does the state have a written plan for improving the enrollment, attendance, and success in school of homeless children and youth?**

    ❑ Yes   ❑ No

3. **How does the SEA identify and eliminate barriers to the enrollment, retention, and success in school of homeless children and youth?**

    ❑ Response up to 3 lines in length is entered below.

    _____

    _____

    _____

    ❑ A longer narrative is attached. Identify this attachment as 9-O-3.

    ❑ The SEA does not have a State Coordinator for Education of Homeless Children and Youth

4. **What barriers remain? List in rank order from highest to lowest.**

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ Specify:_____

    ❑ A longer narrative is attached. Identify this attachment as 9-O-4.

    ❑ The state needs assistance in resolving these barriers.

Note: On check-box questions, please check all that apply.

5. **The State Coordinator for Homeless Children and Youth has:**

❑ Estimated the number of homeless children and youth in the state and the number of homeless children and youth served with subgrants.

❑ Gathered information about the nature and extent of problems homeless children and youth have in gaining access to public preschool, elementary, and secondary school.

❑ Identified special needs of children and the progress made by the SEA and LEAs in addressing such problems.

❑ Reported on the success of this program in allowing homeless children and youth to enroll in, attend, and succeed in school.

❑ Implemented the state plan that was submitted to the U.S. Department of Education.

❑ Facilitated coordination between the SEA and other agencies providing services to homeless children and youth.

❑ Developed relationships and coordinated with other relevant service providers to improve the provision of comprehensive services to homeless children and youth and their families.

❑ The SEA does not have a State Coordinator for Education of Homeless Children and Youth.

6. **What procedures has the SEA established to ensure LEA subgrants are awarded on the basis of need and <u>quality</u> for a period not to exceed three years?**

❑ The proposed use of funds would facilitate the enrollment, retention, and educational success of homeless children and youth

❑ The extent to which the application reflects coordination with other local state agencies that serve homeless children and youth

❑ The extent to which the applicant exhibits in the application and in current practice a commitment to education for all homeless children and youth

❑ Other:_____

❑ A longer narrative is attached. Identify this attachment as 9-O-6.

❑ The SEA could use assistance in this area

7. **The SEA has ensured that each participating LEA:**

❑ Eliminated barriers to the enrollment, retention, and success in school of homeless children and youth.

❑ Coordinated services with local social service agencies and programs.

❑ Provided transportation services that are at least comparable to the services provided non-homeless children.

❑ Determined the particular school that is in the best interest of a child to attend

❑ Complied with requests made by a parent or guardian regarding school placement, to the extent feasible.

❑ Designated an individual to serve as a homeless liaison.

❑ Did not use program funds to replace a school's regular academic program.

8. How does the SEA ensure that homeless preschool age children have the same access to available public preschool programs as their non-homeless peers?

❏ Response up to 3 lines in length is entered below.

_____

_____

_____

❏ A longer narrative response is attached. Identify this attachment as 9-O-8.

❏ The state does not take an active role in ensuring that homeless preschool-age children have the same access to available public preschool programs as their non-homeless peers.

9. How does the SEA encourage LEAs to reach out to and re-engage out-of-school homeless youth?

❏ Response up to 3 lines in length is entered below.

_____

_____

_____

❏ A longer narrative response is attached. Identify this attachment as 9-O-9

❏ The state does not take an active role in encouraging LEAs to reach out to and to re-engage out-of-school homeless children

10. The SEA provides technical assistance regarding serving homeless students to:

❏ All LEAs in the state.

❏ Just LEAs with McKinney subgrants.

11. How does the SEA provide awareness-raising about the special needs of homeless children and youth?

❏ Professional development and other activities for educators, and pupil service personnel that are designed to heighten their understanding and sensitivity to the needs of homeless children and youth

❏ Referral services to homeless children and youth for medical, dental, and other health services

❏ Training to the parents of homeless children and youth about the rights of and resources available to homeless children and youth

❏ Other:_____

❏ A longer narrative response is attached. Identify this attachment as 9-O-11.

❏ The SEA would like assistance in this area.

Note: On check-box questions, please check all that apply.

12. Do LEAs in the state have a homeless liaison who is responsible for the enrollment and attendance in school of homeless children and youth?

❑ All LEAs have such a liaison.

❑ Most LEAs have such a liaison.

❑ Few LEAs have such a liaison.

❑ Approximately _____% of LEAs have such a liaison.

❑ The SEA encourages LEAs to have a liaison.

❑ The SEA requires that LEAs have a liaison.

13. How does the state ensure that LEAs consult with parents in placing children in the school that is in their best interest to attend during the period of homelessness?

❑ The SEA requires that LEAs have written procedures in place.

❑ The SEA encourages LEAs to have written procedures in place.

❑ Other:_____

❑ A longer narrative response is attached. Identify this attachment as 9-O-13.

❑ The SEA does not take an active role in encouraging LEAs to consult with parents in placing children in the school that is in their best interest to attend during the period of homelessness

14. How does the SEA ensure that homeless children and youth are not separated from the mainstream school environment?

❑ The SEA has policies/assurances that prohibit isolation or stigmatization of homeless children and youth.

❑ The SEA plans to adopt policies/assurances that will ensure that homeless children and youth are not isolated or stigmatized.

❑ Other_____

❑ A longer narrative response is attached. Identify this attachment as 9-O-14.

❑ The SEA would like assistance in this area.

OESE

State Self Review: Part II

Document Request List

Office of Elementary and Secondary Education
U.S. Department of Education

July 23, 2001

DOCUMENT REQUEST LIST
OESE STATE SELF-REVIEW

Group I. STATE-LEVEL DOCUMENTS (from SEA unless otherwise noted)	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
A. CROSS-PROGRAM DOCUMENTS			
(a) SEA Organizational Chart	√		
(b) List of SEA federal program contacts and the program(s) they represent	√		
(c) Consolidated Plan			√
(d) Any updates to the Consolidated plan that have not been submitted	√		
(e) Program-specific plans (applications) for programs not under Consolidated Plan			√
(f) List of schools planning to implement schoolwides		√	
(g) Other state plans, such as professional development, parent/community involvement, if applicable	√		
B. PROGRAM-SPECIFIC DOCUMENTS			
1. ESEA , Title I, Part A—Basic Programs			

(a) Allocation of funds
    (1)   Records of basic grant and concentration grant funds to LEAs, including computer worksheets that demonstrate the procedures (including the hold harmless provision) used by the SEA to allocate funds
    (2)   Records of capital expense funds to LEAs
    (3)   Records showing how much was reserved from Title I, Part A, Part C, and Part D (subpart 1) allocations for state administration and school improvement activities
	√
	
	√
	
	√		

(b) Any Title I policies that have been distributed in the last two years.	√		
(c) A list of the names of LEAs with schools identified for school improvement, including the SEA's definition of adequate yearly progress.	√		
(d) A description of the statewide system of support (support teams)	√		
(e) A roster of the Committee of Practitioners and agenda for meetings.	√		

Group I. STATE-LEVEL DOCUMENTS (from SEA unless otherwise noted)	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
2. ESEA, Title I, Part B—Even Start			
(a) List of subgrantees and a project description of each	√		
(b) Monitoring instrument, schedules	√		
3. ESEA, Title I, Part C—Migrant Education			
(a) List of migrant education projects (subgrantees) and the grant amount each project receives	√		
(b) State-developed policy guidance and training materials on determining and documenting student eligibility	√		
(c) SEA procedures for reviewing eligibility determinations and ensuring that only eligible children are served			√
(d) Random sample of Certificates of Eligibility		√	
(e) Statewide needs assessment and any accompanying policies, guidance, and training materials	√		
(f) Procedures for transferring and using migrant student records		√	
(g) Procedures for determining program effectiveness and implementing improvements	√		
(h) Written procedures for assessing students and whether and how migrant children are included in the state's standards-based assessments, where applicable	√		
(i) Disaggregated state-assessment data, if available, OR, if statewide assessments are not used, information on how migrant students are assessed, and whether and how these data are used to refocus services to better assist the children	√		
(j) Written subgrant procedures	√		
(k) Written procedures for charging MEP staff time to specific fiscal accounts maintained by the SEA, *i.e.*, the general administrative account and the MEP-specific account	√		
4. ESEA, Title I, Part D—Neglected, Delinquent, or At Risk			
(a) Distribution records for Part D, subpart 1 funds	√		
(b) Distribution records for Part D, subpart 2 funds	√		
(c) Policy Guidance for how subgrants are made	v		
5. McKinney Act—Education for Homeless Children and Youth			
(a) List of subgrantees and a project description of each	√		
(b) Monitoring instrument, schedules	√		

Group I. STATE-LEVEL DOCUMENTS (from SEA unless otherwise noted)	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
6. ESEA, Title I, Section 1502—Comprehensive School Reform Demonstration Program			
(a) Approved state application for funding			√
(b) Request for Proposals/scoring rubrics			√
(c) Peer review panel report			√
(d) List of school sites awarded funding (from SEDL database)			√
(e) State comprehensive reform technical assistance documents submitted in conjunction with or following the SEA application			√
7. ESEA, Title II—Eisenhower Professional Development Program			
(a) Updated SEA needs assessment	√		
(b) State performance indicators for professional development or a description of the progress in the development of local and state performance indicators		√	√

(c) Guidelines, monitoring instruments, and policies written for LEAs on:
    (1) Consortia
    (2) Local matching
    (3) Mathematics and science priority
    (4) Carry-over
    (5) Coordination with other programs
    (6) Focus on school-level activities
	√
	√
	√
	√
	√
	√
	√		

(d) Brief description of model SEA and LEA projects that represent sustained and high-quality professional development		√	
(e) SEA method for data collection from LEAs		√	
(f) Audit Guides		√	
(g) RFP distributed for the higher education portion **[From SAHE]**	√		
(h) Current guidelines, rules, or policies, announcements, selection process procedure, appeals process, and example of a subgrant award to an IHE and a non-profit organization **[From SAHE]**	√		

Group I. STATE-LEVEL DOCUMENTS (from SEA unless otherwise noted)	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
8. ESEA, Title III--Technology Literacy Challenge Fund			
(a) Descriptions of the grants that have been funded		√	
(b) Instrument/method the state used to certify that the LEA technology plans address all legislative requirements		√	√
(c) The RFP and/or a description of the subgrant process			√
(d) SEA performance report		√	√
(e) Updates to state technology plan	√		√
9. ESEA, Title IV—Safe and Drug-Free Schools and Communities			
(a) State policies and procedures used to administer the SDFSC program	√		
(b) LEA application and instructions	√		
(c) Monitoring instruments for LEAs and other grantees, if available	√		
(d) Evaluation design and reports, if any	√		
(e) For 70% allocation distributed based on enrollment data: (1) Description of the formula used to allocate 70% to LEAs (2) Allocation table for current and prior school year awards, including total amount of awards made in this category for both funding years (3) Description of the application review and approval process, including timelines, notification of award, and appeals process	√ √ √		
(f) For 30% allocation distributed to LEAs in greatest need: (1) Description of the selection criteria and process used to identify LEAs for greatest-need funds, including timelines, notification of award, and appeals process (2) LEA application and instructions, if different from the form used for the 70% portion, including any additional instructions specific to greatest-need applicants (3) List of current- and prior year's recipients, including individual amounts received and total amount of awards made in this category since the state's last State Self-Review (4) List of urban/rural designations	√ √ √ √		
Random sample of funded LEA applications and files, as determined by the Federal monitoring team		√	

Group I. STATE-LEVEL DOCUMENTS (from SEA unless otherwise noted)	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
(g) For 5% state-program funds: (1) Statement of the total amount reserved and expended to date (2) Description of how funds are being used (3) List of award recipients and their award amounts received and urban/rural designation	√ √ √		
(h) For 4% administrative funds: (1) Statement of the total amount reserved and expended to date (2) Description of how funds are being used (3) Total number of FTEs allotted for program administration	√ √ √		
10. ESEA, Title VI—Innovative Education Strategies Program			
(a) Guidance and Procedures for Title VI State and Local Programs	√		
(b) Monitoring instrument	√		
(c) LEA application procedures, including blank application	√		
(d) Distribution formula, if changed since submitted to ED	√		
(e) Position descriptions for SEA staff paid from Title VI		√	
(f) Maintenance-of-effort records		√	
(g) Documentation of distribution of funds to LEAs		√	
11. ESEA, Title VIII—Impact Aid Program			
(a) Average daily attendance data for all LEAs in the state	√		
12. 1999 Appropriations Act §307—Class-Size Reduction			
(a) LEA application procedures and instructions, including a copy of the LEA application package	√		
(b) Report of all final LEA allocation amounts	√		
(c) Documents specific to the state's own class-size reduction program (1) The state program's goals and requirements, including timeline information, (2) Amount of state funding authorized for the program, (3) Program evaluation	√		

Group II. LEA DOCUMENTS The documents below pertain to any LEA and/or school that an OESE review team will visit as part of a monitoring visit for a specific program. The monitoring team will advise the State which of the following documents are needed. Those needed prior to the on-site visit should be provided at least 30 days in advance of the visit. Some of the documents will be available from the SEA, while others will need to be obtained from the LEAs and schools.	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
A. CROSS-PROGRAM DOCUMENTS			
LEA consolidated plans	√		
Other LEA applications and/or plans for implementing specific federal programs, if applicable	√		
LEA plans for addressing cross-cutting needs, such as professional development, if applicable	√		
General information on the LEA (population, demographics, testing data)	√		
Most recent monitoring report(s)	√		
Copies of schoolwide program plans for schoolwide programs to be visited	√		
Information on how the LEA is ensuring equitable participation of private schools and/or private school children or teachers in eligible services		√	
Maintenance-of-effort reports for applicable programs [Title I, Part A, Title II (except §2103 and Part C), Title III, Part A, Subpart 2, Title IV (except §4114), and Title VI] for the previous three years, including a list of the federal funds excluded.	√		
Most recent data documenting that the comparability requirement has been met for Title I Parts A and C.	√		
B. PROGRAM-SPECIFIC DOCUMENTS			
1. ESEA , Title I, Part A—Basic Programs			
Most recent evaluation report	√		
Copies of school improvement plans for schools in school improvement that are to be visited	√		
Copy of LEA's approved parent involvement policy and samples of parent-school compacts		√	
Plan or description of staff development activities for the upcoming school year (may be at LEA or school level)		√	
Information about Title I services to homeless children and youth		√	
Targeted assistance plans (for a sample of the schools to be visited)	√		

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2. ESEA, Title I, Part B—Even Start			
SEA's most recent monitoring report on the local site to be visited	√		
3. ESEA, Title I, Part C—Migrant Education			
Procedures for transferring educational and health records		√	
Procedures for determining program effectiveness and implementing improvements		√	
4. ESEA, Title I, Part D—Neglected Delinquent, or At Risk			
Information on local N or D programs		√	
Copies of the most recent program evaluations carried out in accordance with Part D, subpart 3		√	
Certificates of Eligibility (COEs), where available		√	
5. McKinney Act—Education for Homeless Children and Youth			
SEA's most recent monitoring report on the local site to be visited	√		
6. ESEA, Title I, Section 1502--Comprehensive School Reform Demonstration Program			
Approved local application for sites to be visited	√		
Information on models at schools to be visited	√		
7. ESEA, Title II—Eisenhower Professional Development			
Updated LEA needs assessment, if possible	√		

Group II. LEA DOCUMENTS The documents below pertain to any LEA and/or school that an OESE review team will visit as part of a monitoring visit for a specific program. The monitoring team will advise the State which of the following documents are needed. Those needed prior to the on-site visit should be provided at least 30 days in advance of the visit. Some of the documents will be available from the SEA, while others will need to be obtained from the LEAs and schools.	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
8. ESEA, Title III—Technology Literacy Challenge Fund			
Copies of technology plans from LEAs visited by the team (if applicable), if possible	√		
Preliminary information for part 4 of the TLCF performance report (2 items) (?)		√	
9. ESEA, Title IV—Safe and Drug-Free Schools and Communities			
Copies of approved applications for LEAs visited by the team	√		
Copies of any monitoring and evaluation reports for LEAs to be visited by the team	√✓		
10. ESEA, Title VI—Innovative Education Strategies Program			
Monitoring instrument for private schools		√	
Monitoring schedule for private schools		√	
Approved LEA applications for LEA(s) to be visited by the team	√		
11. 1999 Appropriations Act—Class-Size Reduction Program			
Annual school-level report on student achievement that is a result of hiring additional highly qualified teachers and reducing class size	√		
12. ESEA, Title IX—Indian Education (if OIE is participating for this state)			
Title IX application with needs assessment and comprehensive plan	√		√
Progress reports/performance indicators/evaluation/assessment instrument		√	
506 forms		√	

Group II. LEA DOCUMENTS The documents below pertain to any LEA and/or school that an OESE review team will visit as part of a monitoring visit for a specific program. The monitoring team will advise the State which of the following documents are needed. Those needed prior to the on-site visit should be provided at least 30 days in advance of the visit. Some of the documents will be available from the SEA, while others will need to be obtained from the LEAs and schools.	Need prior to the on-site visit	May be reviewed on site	Material in our possession, being reviewed
OIE Continued			
Assessment plan		√	
Administrative records, policies/procedures		√	
Documentation of project expenditures		√	
Parent committee bylaws, list of members, minutes		√	